



**Invention/License Subsystem  
User's Guide/Training Manual**

**For**

**U.S. Department of Agriculture  
Office of Technology Transfer**

**Updated: September, 2003**

**Version 03**

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## INTRODUCTION

The License and Invention System is the ARS management database which resides on the Agricultural Research Information System (ARIS) and is used for tracking information on inventions and licenses for inventions. The purpose of this document is to provide a User's Manual and Training Guide for the new License and Invention System which has been enhanced and expanded to cover new areas. The Invention Subsystem has been modified to provide more information and expanded to handle Plant Material Dockets and Biological Material Dockets. It also provides the capability to group patents into 'families' and identify the relationships among patent dockets. The Licensing Subsystem has been modified to allow OTT personnel to group inventions into a technology group identified by a Technology Transfer ID number. Licensing is now based on the Technology Transfer ID with the user being able to select part of all of the items under the technology group for the given license.

## 1. TOP LEVEL DESCRIPTION AND THE BASICS

---

### *Top Level Description*

The License and Invention System is divided into two major parts:

Invention Subsystem – Contains all data, forms and reports to support Patent Dockets (both US and Foreign), Plant Material Dockets and Biological Material Dockets. Also supports Patent Family Groups.

License Subsystem – Contains all data, forms and reports to support licensing inventions. Also, supports pending licenses and in-licenses from another agency. Similar technologies will be grouped and identified by a Technology Transfer ID. All licenses will be under a chosen Technology Transfer ID.

ARIS has the same basic approach to each area. Functionality is divided into 4 categories; Active, History, Work Status and Work:

Active – Active forms are read-only forms available to all users. (There are a few special instances where NPS personnel or budget personnel may modify an active record). They display information for approved records. The user may query on any desired criteria and return a list of those records that match the criteria entered. If there is an error in the Active record, the user will select the record in the Active form, and chose the function to 'Create Work Record'. A copy of the record will be inserted into the work area with the appropriate level of the user who created it.

History – History forms are also read-only forms available to all users. They view records that were once part of the 'Active' database that were subsequently moved to History. They may have been expired or terminated and it was determined they did not need to be

kept in the 'Active' file any longer but they are retained for historical purposes. A History records may be moved back to Active if the need arises by choosing the function 'Move to Active'.

Status (Work) – Status (work) forms are used to view data for records that are currently being worked on and going through the approval process. They are read-only forms and allow the user to see all work records within his modecode restriction. The list screen will show which level the record is currently at (who is working on it). This is helpful if the user has signed and approved a record and wants to see who else in the signature chain has also signed and approved it.

Work – Work forms are used to add, modify, sign and approve patents and licenses. The work forms provide a work queue capability. The queue controls access to the records based upon the user's modecode restriction, role, and submission level. When a user of a given submission level signs and approves the record, the application will update the submission level to the next identified 'level' based on the rules that have been defined within the signature trigger. When the final approval is entered, the record is tagged as '99' and a nightly process will then audit the record and move it to the active tables. For example, a Research Leader will see records within his modecode only, which currently have a level for Research Leaders (awaiting approval by a Research Leader). Once the Research Leader approves the work record, its level will change and it will no longer appear in the Research Leader's 'work queue' but will now appear to a CD/LD/DAD or Area Director as appropriate.

## ***The Basics***

### **Menus**

### **Toolbar**

This is an example of a standard Work Toolbar.



Prints the current screen.



Cuts selected text.



Copies selected data.



Pastes selected data.



Displayed only for Query Screens, executes the query and navigates to the list screen.



Displayed only on List Screens, navigates to the query screen.



Navigates to the first record in the list. The user may use this navigational feature while on any tab screen and the header/data will scroll accordingly.



Navigates to the previous record in the list. The user may use this navigational feature while on any tab screen and the header/data will scroll accordingly.



Navigates to the next record in the list. The user may use this navigational feature while on any tab screen and the header/data will scroll accordingly.



Navigates to the last record in the list. The user may use this navigational feature while on any tab screen and the header/data will scroll accordingly.



Saves any unsaved changes. Displays only on Work forms.



Cancels any unsaved changes. Displays only on Work forms.



Exits the current screen.

## Querying

Query screens allow the user to enter the search criteria to be used to select records. There are special characters/operators that may be used to aid querying.

% - Wildcards. This is used when the user only knows a partial value for a field or if they are looking for a particular string of characters within a field. It is often called the 'LIKE' operator. Such as, to find a last names like Green, it may be Greenfield, Greendale, etc. type Green%. The user should always use % when querying large text fields and looking for specific terms.

Other examples:



Germ% - retrieves all records where the field queried contains data that starts with germ, such as germ and germplasm.

%plasm% - retrieves all records where the field queried contains data that has the string 'plasm' within it, such as germplasm and plasma.

%temperatures%limiting% - when used like this, the % between the words acts as an AND operator and will retrieve all records where the field queried had both the word 'temperatures' and the word 'limiting'.

: (colon) - Range/Between. Used as a separator between the start and end values in a range. It can be used for all types of data, including dates. Example:

10/1/2002:9/30/2003 would return all records where the field queried had a date within that range.

;(semicolon) – OR. Used as a separator in a list of search items. Indicates an OR condition. For example, 'corn;wheat;rice' would retrieve all records where the field queried had either the term 'corn' or the term 'wheat' or the term 'rice'.


!(exclamation) – BUT NOT. It is used to narrow the search criteria. It may be necessary to query multiple values and omit only one or two. For example, querying projects that are not Expired (E) or Unfunded (U), the user would enter A:X!E;U. This would return all statuses except those in E – Expired or U – Unfunded.


## Special Features


There are a few special features provided:


For all users, the white fields indicate where data entry and modification is accepted, the light yellow fields indicate the field is not modifiable.

List screens that support adding and deleting records have <Add> buttons. Selecting this button will put the list in 'Add' mode which will be indicated by a light green color. It will also default certain values as appropriate for creating the new record. The user can continue adding records by scrolling down the list until they choose to Save. Saving will commit the new records and return the list to 'Modify' mode.

 - this button appears next to a record, usually on a list screen. It is provided to allow the user to easily navigate to related information in another form. For example, the Patent List screen allows the user to choose a Patent Docket and use this icon to navigate to the License form and automatically show only the licenses related to the Patent Docket that was chosen.


 - this button appears on screens that require data entry of multiple addresses. It is called the 'copy-down' button. Once address data is entered in the block beside this icon, clicking on the button will copy the information entered into the address blocks below it.

 - this button appears next to fields that have a List of Values available for selection of the item. It is typically used when the list available must be queried from a reference table or from another ARS table. For example, this button next to the Patent Status field would display a list of all patent statuses from the reference table. Often, the user can also type the value manually.

 - this button appears next to fields that have a pick list available for selection. The user must use the pick list to choose the appropriate value. Typing the first letter will cause the correct choice to display in the field.

X – Some list screens support marking records in order to be able to do some calculation or totaling. On these screens, this button is provided as a convenient way to mark all the records. It will toggle between marking all and clearing all.

Calculate Total button – Some list screens support marking records in order to be able to do some calculation or totaling. After the user has marked the records they desire to be part of the calculation, they will select a button similar to this one to tell the application to do the calculation.

 - Buttons appear on the tops of each column on List screens. These buttons are provided to facilitate sorting the records in different orders. Clicking the button the first time will sort the records in ascending order for the field below. Clicking the button again will sort the list in descending order for the field below. The button will continue to toggle between ascending and descending order.

Pop-up Screens – Data entry that is done on a separate pop-up screen will be supported with three buttons:

Save: Save will save the data entered on the screen. If the screen allows additional data entry or modification, the pop-up will remain displayed after the current changes are saved. In some instances where the pop-up is supporting a specific data entry, the pop-up will close and the user will be returned to the main screen.

Cancel: Cancels the data entered on the screen and closes the pop-up.

Close: Checks to see if there are unsaved changes. If there are, it will prompt the user for whether to save those changes or not. If the user chooses to save, it will save the changes and close the pop-up. If the user chooses to cancel, it will cancel the data entered and close the pop-up.



## 2. LICENSES & INVENTIONS MENUS

The Main Menu of the License and Invention System has the following drop-down menu items.

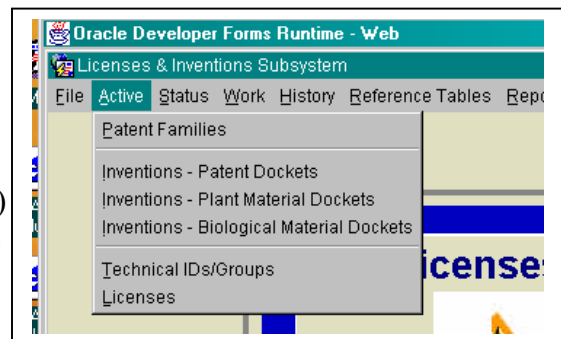
- ◆ File
- ◆ Active
- ◆ Status
- ◆ Work
- ◆ Licenses (OTT only)
- ◆ History
- ◆ Reference Tables
- ◆ Reports
- ◆ Help



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### Active Menu

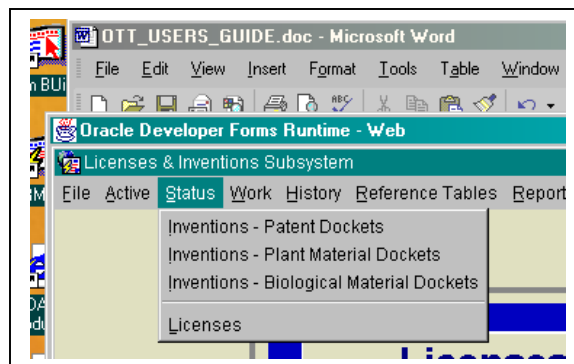
- ◆ Patent Families
- ◆ Inventions – Patent Dockets
- ◆ Inventions – Plant Material Dockets (OTT only)
- ◆ Inventions – Biological Material Dockets(OTT)
- ◆ Technical IDs/Groups
- ◆ Licenses



\*\*\*\*\*

## Status (Work) Menu

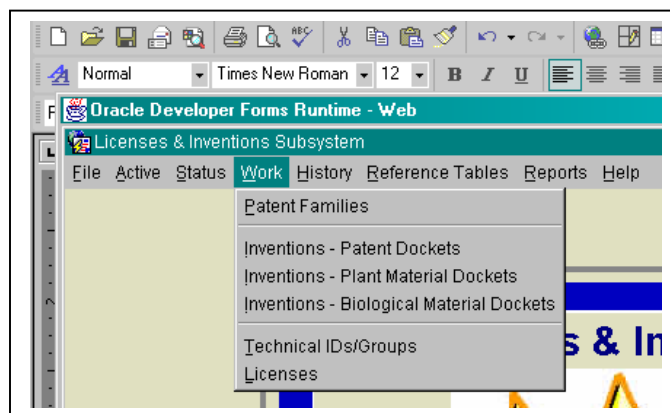
- ◆ Inventions – Patent Dockets
- ◆ Inventions – Plant Materials (OTT only)
- ◆ Inventions – Biological Materials (OTT only)
- ◆ Licenses (OTT only)



\*\*\*\*\*

## Work Menu

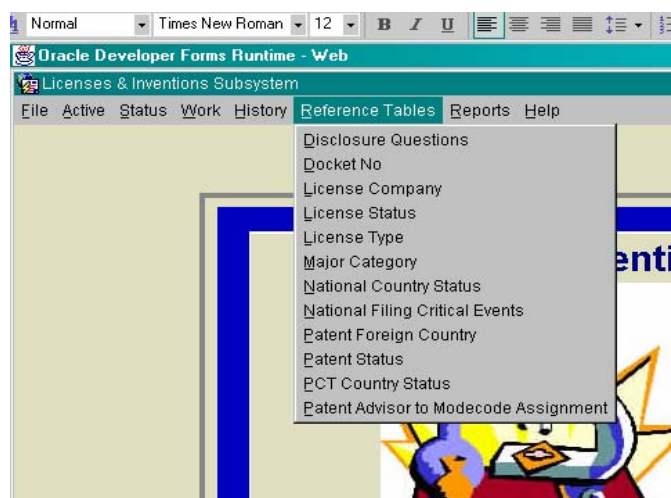
- ◆ Patent Families
- ◆ Inventions – Patent Dockets
- ◆ Inventions – Plant Materials(OTT only)
- ◆ Inventions – Biological Materials(OTT)
- ◆ Technical IDs/Groups
- ◆ Licenses (OTT only)



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## Reference Tables Menu

- ◆ Disclosure Questions
- ◆ Docket No
- ◆ License Company(OTT only)
- ◆ License Status(OTT only)
- ◆ License Type(OTT only)
- ◆ Major Category
- ◆ National Country Status
- ◆ National Filing Critical Events
- ◆ Patent Foreign Country
- ◆ Patent Status
- ◆ PCT Country Status
- ◆ Patent Advisor to Modecode Assignment(OTT only)

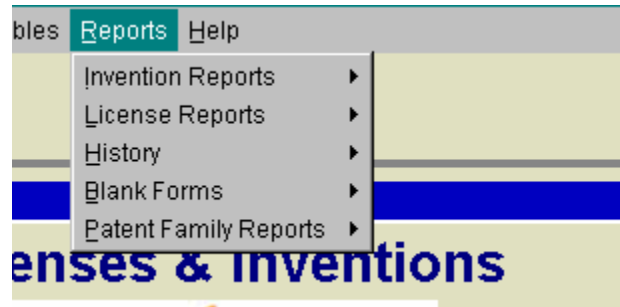


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## Report Menus

### Main Report Menu

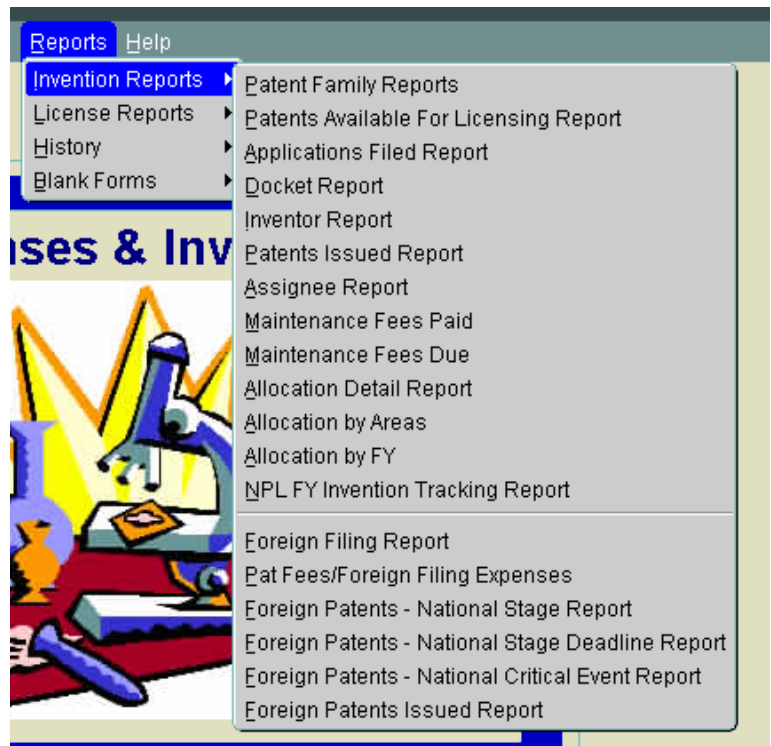
- ◆ Invention Reports
- ◆ License Reports (OTT only)
- ◆ History
- ◆ Blank Forms
- ◆ Patent Family Reports



\*\*\*\*\*

### Invention Report Submenu

- ◆ Patent Family Reports
- ◆ Patents Available for Licensing Report
- ◆ Applications Filed Report
- ◆ Docket Report
- ◆ Inventor Report
- ◆ Patents Issued Report
- ◆ Assignee Report
- ◆ Maintenance Fees Paid
- ◆ Maintenance Fees Due
- ◆ Allocation Detail Report
- ◆ Allocation by Areas
- ◆ Allocation by FY
- ◆ NPL FY Invention Tracking Report
- ◆ Foreign Filing Report
- ◆ Patent Fees/Foreign Filing Expenses
- ◆ Foreign Patents – National Stage Report
- ◆ Foreign Patents – National Stage Deadline Report
- ◆ Foreign Patents – National Critical Event Report
- ◆ Foreign Patents Issued Report



\*\*\*\*\*

## License Report Submenu (OTT only)

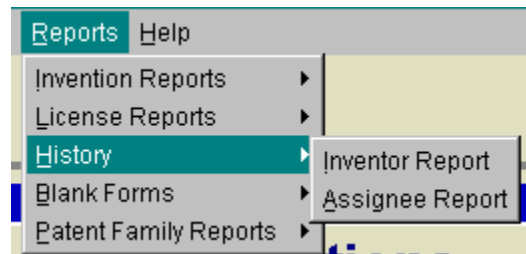
- ◆ Technology Transfer ID Report
- ◆ Summary License Report (Type, Status)
- ◆ License Due Date Report
- ◆ Fee Maint Tickler
- ◆ Diligence Report
- ◆ Company Contact Information Report
- ◆ Commerce Report
- ◆ Small Business Report
- ◆ Current/Prior FY License Income Report
- ◆ Income Report
- ◆ Inventor Disbursement Report
- ◆ License Income Trend Report
- ◆ Patent Cost Reimbursement



\*\*\*\*\*

## History Submenu

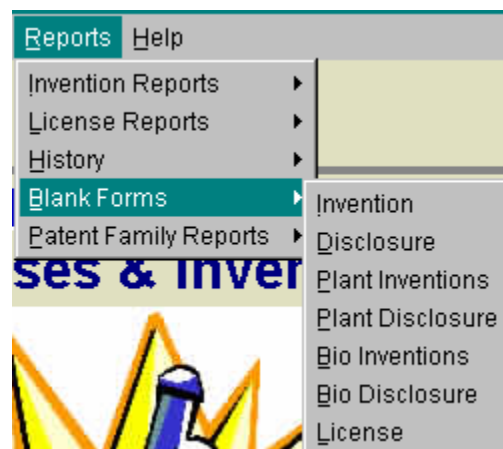
- ◆ Inventor Report
- ◆ Assignee Report



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## Blank Forms Submenu

- ◆ Invention
- ◆ Disclosure
- ◆ Plant Inventions
- ◆ Plant Disclosure
- ◆ Bio Inventions
- ◆ Bio Disclosure
- ◆ License



### 3. INVENTION SUBSYSTEM

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The Invention Subsystem has been expanded to handle different types of patentable material. The subsystem is split into three distinct areas: Patent Dockets (both US and Foreign), Plant Material Dockets and Biological Material Dockets. There has also been additional capability added to group Patent Dockets into families and to define the relationships among the dockets (e.g. Divisional, Continuation, and Continuation In Part).

Patent Dockets (US and Foreign) – This module is an enhancement of the old Patent subsystem within ARIS. Additional fields have been added to support information reporting. The ability to assign a patent to a family and to view the entire family in ‘tree’ form has been added.

Plant Material Dockets – This module has been added to create, modify, report on and approve Plant Material Dockets. Plant Materials have their own docketing numbering system with a Docket Prefix of ‘P’. The docket number is sequentially assigned according to the FY. Each FY will restart at 1.

Biological Material Dockets – This module has been added to create, modify, report on and approve Biological Material Dockets. Biological Materials have their own docketing numbering system with a Docket Prefix of ‘B’. The docket number will be sequentially assigned according to the FY. Each FY will restart at 1.



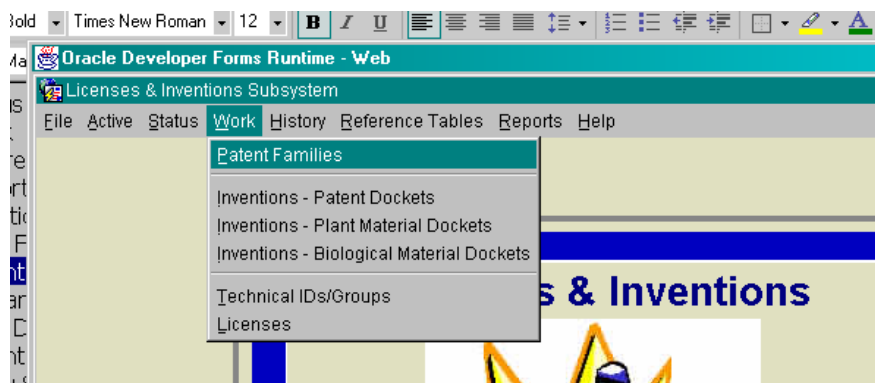
## Patent Families

Patent Families exist when a parent patent results in other patents being filed as a result of changes or enhancements to the original patent. A new patent for a new technology will be considered a 'Patent Family' at first and be designated a Parent docket. Per review, the originating (parent) patent may result in a divisional patent where there is more than one invention in the original patent application or a Continuation in Part when new subject matter is added to a patent application. A Continuation patent application may be filed to keep the patent rights intact for a period of time. Divisionals, Continuations and Continuations in Part may also subsequently result in other patents being filed. This results in a hierarchical relationship among the group of related patents. In the hierarchical relationship the 'owning' patent is called the parent. The patents that result from that patent are called 'children'. In this subsystem, the user may define a Patent Family by specifying the Parent Patent and then adding children patents as appropriate. *Any individual Patent Docket may be assigned to one and only one Patent Family.* Each docket must have a type associated with it: Parent, Divisional, Continuation, or Continuation in Part.

There are two ways to access Patent Family information. One is through the Active side, which allows the user to view patent family information and query/retrieve patent family information. The other is through the Work side, which has additional capability to create new families and make changes/additions to existing patent families. There is no 'approval' process for Patent Families. Therefore, users that are authorized to make changes in the work form will have their changes immediately visible through the Active side.

## Patent Families – Work Screen

The Patent Families Work Screen is accessed off the Work submenu.



The screen displayed will be:

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Patent Families  
File Edit Query Help  
ARIS  
Patent Families  
Patent Families | All Families  
Query Criteria  
Docket No  FY  Serial No  Patent No    
Inv Last Name  Inv First Name  Invention Title   
      
Record: 1/1  
Docket No  FY   
Serial No   
Patent No   
Date Patented   
Invention Title   
Inventor Last Name   
Inventor First Name   
Fee Status Code   
Fee Status Date   
Status Desc

There are two tab screens:

Patent Families - Patent Families is where the user can query and retrieve results, add new families, add children to existing patent families, edit information about the entry, and delete docketed from patent families.

All Families – Displays all the existing patent families and allows the user to navigate the structure and view details on each node.

## Patent Families Screen

This screen is the work screen for Patent Families. It provides the capability to add new Patent Families, add new children to existing patent families, modify information about a child in a patent family, or delete a docket from a patent family. Deleting a docket from a family does not affect the Docket record; it merely removes its relationship to the family. It allows the user to query Patent Families by entering criteria for Docket No, FY, Serial No, Patent No, Invention Title, or Inventor Last/First Name. It will return the entire Patent Family for the docket(s) that match the criteria entered. If the search criteria returned only one docket (as in the example below for 182.94), the application will return the entire Patent Family but will highlight the record returned based on the query criteria. If the search criteria returns multiple dockets, it will highlight all the records that matched the query criteria.

The user may also add patent dockets to families when modifying the work record for the docket. Refer to the section Patent Dockets – US and Foreign, Invention Screen. When added through the work process, the patent docket will not be officially assigned to a patent family until the work record is approved. The Patent Families function described in this section is an instantaneous assignment to a Patent Family and does not require any approval process.

## Adding a New Patent Family

To add a new Patent Family, select the <New Family> button. The following popup will display. On the popup, enter the Docket No of the Parent Patent. Then select <Save>.

The new parent will now appear in the list:

## Adding Children to an Existing Patent Family

To add children to an existing family, select the docket under which the child docket should appear. In the example below, we are adding to the Parent patent 166.98.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Patent Families

File Edit Query Help

ARIS

Patent Families All Families

Query Criteria

Docket No  FY  Serial No  Patent No  Query

Inv Last Name  Inv First Name  Invention Title

Parent 0166.98

Docket No 0166.98 FY 1998  
Serial No 09/156,348  
Patent No 6,190,653  
Date Patented 02/20/2001  
Invention Title CHEMICAL ATTRACTANTS FOR MOTHS  
Inventor Last Name LANDOLT  
Inventor First Name PETER  
Fee Status Code TP  
Fee Status Date 02/20/2001  
Status Desc Patented

New Family Add Child Edit Node Delete Node Clear All

Record: 1/1

Select the node and then select <Add Child>. The user must enter the docket number and the display name (type). In this example, the user entered Docket No 241.00 as a Continuation of Docket 166.98. Select <Save> to save the entry.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Patent Families

File Edit Query Help

ARIS

Patent Families All Families

Query Criteria

Docket No  FY  Serial No  Patent No  Query

Inv Last Name  Inv First Name  Invention Title

Parent 0166.98

Docket No 0166.98 FY 1998  
Serial No 09/156,348  
Patent No 6,190,653  
Date Patented 02/20/2001  
Invention Title CHEMICAL ATTRACTANTS FOR MOTHS  
Inventor Last Name LANDOLT  
Inventor First Name PETER  
Fee Status Code TP  
Fee Status Date 02/20/2001  
Status Desc Patented

New Family Add Child Edit Node Delete Node Clear All

Record: 1/1

ADD NEW CHILD

Parent Prefix U

Parent Docket No 0166.98

Docket Prefix U

Docket No 0241.00

Display Name Continuation

Save Cancel

The new child is now shown under the parent patent. If a mistake has been made adding Docket No 241.00 as a Continuation, select <Edit Node>.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Patent Families

File Edit Query Help

ARIS

Patent Families All Families

Query Criteria

Docket No FY Serial No Patent No Query

Inv Last Name Inv First Name Invention Title

Parent 0166.98  
Continuation 0241.00

Docket No 0166.98 FY 1998  
Serial No 09/156,348  
Patent No 6,190,653  
Date Patented 02/20/2001  
Invention Title CHEMICAL ATTRACTANTS FOR MOTHS  
Inventor Last Name LANDOLT  
Inventor First Name PETER  
Fee Status Code TP  
Fee Status Date 02/20/2001  
Status Desc Patented

New Family Add Child Edit Node Delete Node Clear All

Record: 1/1

Selecting <Edit Node> will allow me to change the type and save the change.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Patent Families

File Edit Query Help

ARIS

Patent Families All Families

Query Criteria

Docket No FY Serial No Patent No Query

Inv Last Name Inv First Name Invention Title

Parent 0166.98  
Continuation 0241.00

Docket Prefix U  
Docket No 0241.00  
Display Name Continuation  
Continuation  
Divisional  
Continuation in Part  
Parent

New Family Add Child Edit Node Delete Node Clear All

Record: 1/1

If a docket is added in error, select the docket no on the tree and then select <Delete Node>.

## All Families Screen

The All Families Screen will automatically query and present the Parent list of all the Patent Families currently available. As each node is selected, the information from the node is displayed in the Docket Detail block on the right. If the docket is currently in the History File, an 'H' would display at the end of its label. This screen is for easy viewing of all Patent Families.

The screenshot shows the 'Patent Families' screen in the ARIS system. The interface includes a menu bar (File, Edit, Help), a toolbar, and a title bar. The main area is divided into two sections: a tree view on the left and a 'DOCKET DETAIL' form on the right.

**Patent Families Tree View:**

- Parent 0002.01
- Parent 0001.97
- Parent 0008.00
- Parent 0014.01
- Parent 0001.95
- Parent 4008.91** (selected)
  - Continuation 0182.94
- Parent 0003.95
  - Divisional 0004.97
- Parent 0007.02
- Parent 0012.01

**DOCKET DETAIL Form:**

Docket No	4008.91	FY	1991
Serial No	07/925,685		
Patent No	0,000,000		
Date Patented			
Invention Title	REPELLENTS FOR ANTS		
Inventor First Name	ROBERT		
Inventor Last Name	VANDER MEER		
Fee Status Code	VA		
Fee Status Date	08/02/1994		
Status Desc	Abandoned		

Record: 1/1

## ***Patent Dockets – US and Foreign***

The Patent Docket form is an enhancement of the current Patent Subsystem in ARIS. Key enhancements include:

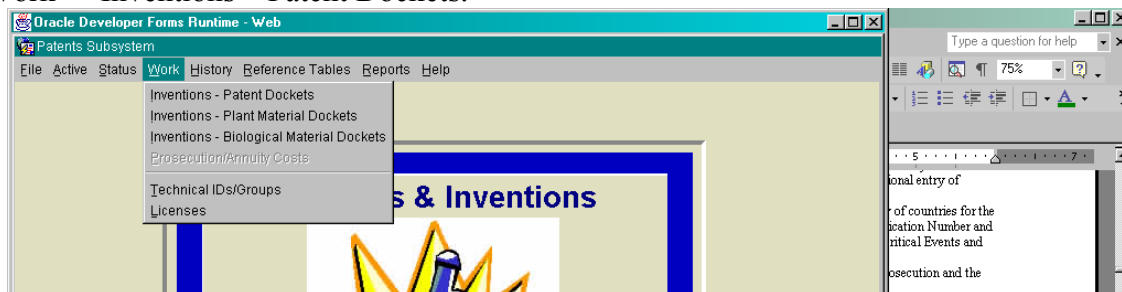
- Assign the Patent to a Patent Family by indicating its type (Divisional, Continuation, or Continuation-In-Part) and its parent docket.
- Ability to display the Patent Family ‘tree’ that the Patent belongs to.
- Display of related CRIS Projects based on entry of ARS Inventors.
- List entry of Patent Status and the ability to enter associated US Prosecution Fees with comments.
- Ability to tag any Patent Status event as critical.
- Separate entry of ARS Inventors and Non ARS Inventors
- List entry of Foreign Filing expenses, detailing which country the expenses are for, the invoice date and the amount. Optional entry of comments.
- National Filing has been modified to allow direct entry of countries for the National Filing stage, and to allow capture of the Application Number and date; Patent No, Issue Date and Expiration Date; and Critical Events and Date.
- Ability to identify the Organization Responsible for Prosecution and the name of any Cooperator.

## **Patent Dockets – Work Records**

The user may create a new work record for a new Patent Docket using the Work Inventions – Patent Dockets screen. If there is an existing Patent Docket that needs modification, the user must first go to the Active -> Inventions – Patent Dockets screen, select the patent docket that requires modification, and then select Action -> Create Work Record.

## **Menu Selection**


To access Work Records for Patent Dockets, select the Menu option Work -> Inventions – Patent Dockets.

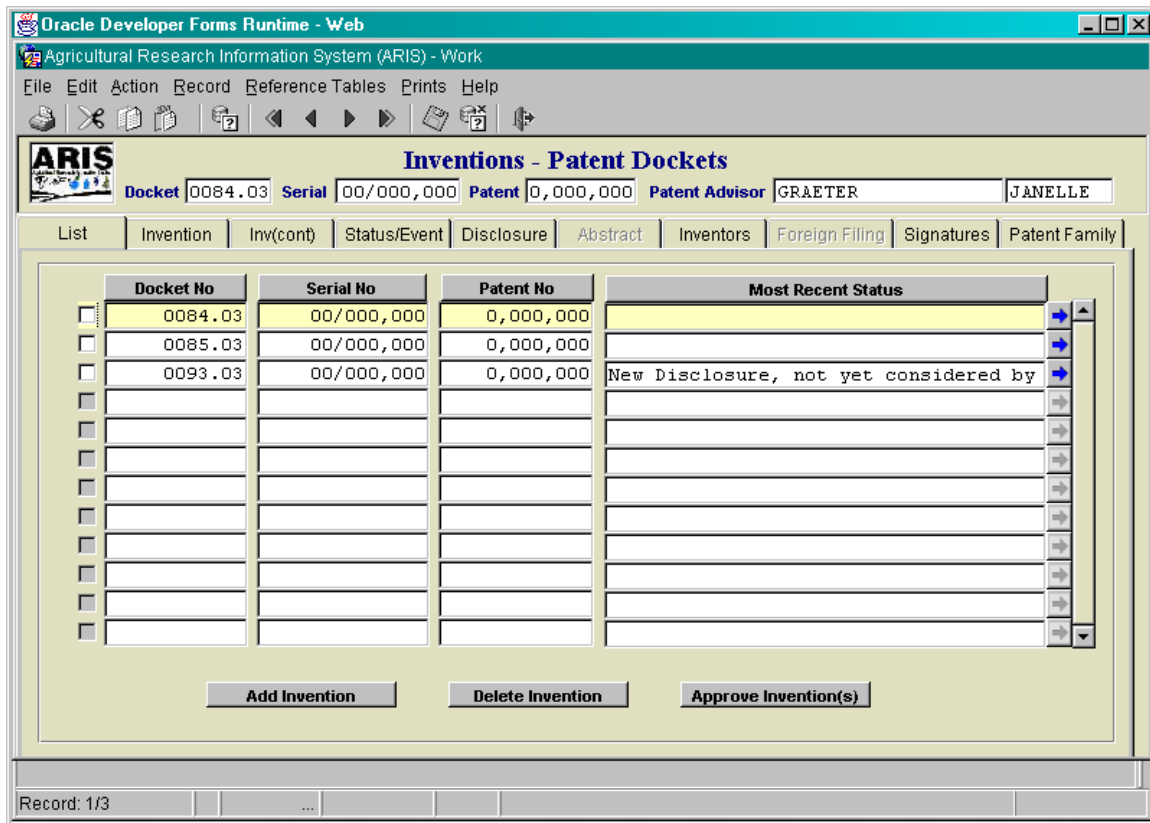




## List Screen

The form will automatically query the work records that are applicable for your user level and modecode. The list screen shows the Docket No, Serial No, Patent No, and the most recent Patent Status assigned to the invention. To view and work on an invention record, select it on the list and then select the desired tab.

The  at the end of each record will let the user query and view licenses related to the selected Patent Docket.



Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Patent Dockets**

Docket 0084.03 Serial 00/000,000 Patent 0,000,000 Patent Advisor GRAETER JANELLE

List Invention Inv(cont) Status/Event Disclosure Abstract Inventors Foreign Filing Signatures Patent Family

	Docket No	Serial No	Patent No	Most Recent Status
<input type="checkbox"/>	0084.03	00/000,000	0,000,000	
<input type="checkbox"/>	0085.03	00/000,000	0,000,000	
<input type="checkbox"/>	0093.03	00/000,000	0,000,000	New Disclosure, not yet considered by
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				

Add Invention Delete Invention Approve Invention(s)

Record: 1/3

## Adding an Invention

When adding an invention, certain fields are defaulted based on your user role and profile. For Field Level personnel, which includes Research Leaders, CD/LD/DADs, and Area Directors, the Docket No and FY will default for the current FY and the Patent Advisor will default based on the Patent Advisor assigned to cover your Area Modecode. The example below shows the screen for an invention being added by a Research Leader assigned to area 12.

The current Patent Advisor assignments are:

Modecodes	Name
12,19,40	JANELLE GRAETER
36,54	CURTIS RIBANDO
53	MARGARET CONNOR
62	RANDALL DECK
64	JOSEPH LIPOVSKY
66	GAIL POULOS

For Headquarters personnel, the Docket No and desired FY must be selected from an available list. The Patent Advisor defaults for the Patent Advisor assigned to cover the user's Area but is changeable (see second example).

Research Leader Add Screen – \*Note, the Lead Inventor modecode is temporarily set to the entering user's modecode until the Lead Inventor (Primary Contact) is entered and identified.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Patent Dockets**

Docket  Serial  Patent  Patent Advisor

List Invention Inv(cont) Status/Event Disclosure Abstract Inventors Foreign Filing Patent Family

Docket No  ? FY  PA (Code,Last,First,MI,Suffix) 9993 GRAETER JANELLE S ?

Title Patent Advisors

Find 99%

Signature C	Name(Last,	First,	MI,	Suffix)	MC	Title
9992	CONNOR	MARGARET	A		53	Patent Advisor
9994	DECK	RANDALL	E		62	Patent Advisor
9993	GRAETER	JANELLE	S		12	Patent Advisor
9995	LIPOVSKY	JOSEPH	A		64	Patent Advisor
9990	POULOS	GAIL	E		66	Patent Advisor
9982	RABIN	EVELYN	M		19	Patent Advisor
9991	RIBANDO	CURTIS	P		36	Patent Advisor
9996	SILVERSTEIN	JEFFREY			0	Patent Advisor
9983	STOVER	G	B		1	Patent Advisor

OK Cancel Find

Choices in list: 9

Record: 1/1

DE/SEC Add Screen – Note, HQ level users must select the FY and obtain the next available docket number and must also select the responsible Patent Advisor.

## Invention Screen

The required fields for initial data entry are:

Docket No

FY

Patent Advisor

Title of Invention

At that point the Patent Docket may be saved and data entry can be continued for Status, Disclosure and Inventor information.

The Organization responsible for Prosecution is selectable: ARS, Contracted Out or Prosecuted by Cooperator. *If the Patent is being prosecuted by cooperator, the user must enter the Cooperator Name.*

*If this is a new patent being filed for new technology and it is not related to any existing patents, designate its Type as 'Parent'. If the patent is a continuation in part, continuation, or divisional of an existing patent, assign it to the proper patent family by specifying the type (Divisional, Continuation, Continuation In Part) and the Parent Docket No. If this patent is to be a parent of other patents, the user may specify a type of Parent and leave the Parent Docket No field blank. The docket will not be added to the Patent Family until the work record is signed and approved. When it is moved to Active,*

its entry into the Patent Family will be generated and will then be viewable through the Patent Family tab and the Patent Family screen.

After the invention is saved, the screen will display as shown above. Upon saving a new invention, the application automatically creates a status record indicating this is a New Disclosure. That record is shown on the main. The status information displayed will be the two Status/Events selected on the Status/Event tab for display on the main screen. These should be the most pertinent status records for viewing on the main screen.

Other defaults are also applied for Serial Number and Patent Number. Note that the Abstract tab is not accessible to field level personnel and the Foreign Filing tab is only accessible if there are foreign rights available.

## Invention (cont) Screen

The Invention (cont) tab page screen provides additional information about the patent. The user may reference a CRADA Agreement No; a List of Values is available to show the current CRADA agreements. Headquarters level users may indicate that Foreign Rights are available. Selecting 'Yes' for Foreign Rights Available will enable the Foreign Filing tab. The related CRIS projects are displayed based on the Project data entered against each inventor for this invention. Patent Advisors may enter Public Access information and Comments. All users may select Major Category codes for the invention.

Once Inventor information is entered, this screen will also show the Related CRIS Projects:

## Status/Event Info Screen

When a new invention is saved, the application automatically inserts a new Status record indicating this invention is a New Disclosure and marks this record for display on the main screen. The user may add additional status records. *Two and only two records may be marked for display on the main Invention screen.* This tab screen is to reflect the interaction with the US Patent and Trademark Office and to provide a complete docket history with the associated prosecution fees.

Headquarter level personnel may enter Maintenance Fee Info.

The Status Event tab combines information that was previously recorded as Status Code/Date 1, 2 and 3, Critical Event 1 and 2 and US Prosecution Fees. Enter a status date and status code – the reference table for the codes is a combination of the old Patent Status codes and Critical Event codes. The user will also check off the two records to be displayed on the Main Screen for information. Two and only two may be checked at one time (in the first column).

**Oracle Forms Runtime**  
File Edit Action Record Reference Tables Prints Window Help

**Agricultural Research Information System (ARIS) - Work**

**Inventions - Patent Dockets**  
Docket 0085.03 Serial 00/000,000 Patent 0,000,000 Patent Advisor GRAETER JANELLE

List Invention Inv(cont) **Status/Event** Disclosure Abstract Inventors Foreign Filing Signatures Patent Family

**Status/Prosecution Fees**

Disp [2]	Event	Date	Status	Amount	Due Date	Critical Completed Date
<input type="checkbox"/>	1	08/04/2003	AD New Disclosure, no ?			<input type="checkbox"/>
<input type="checkbox"/>			Look up Patent Status Code			
<input type="checkbox"/>						
<input type="checkbox"/>						
<input type="checkbox"/>						
<input type="checkbox"/>						
<input type="checkbox"/>						

Manually Calculated Prosecution Total \$ .00

Prosecution Fee Total \$ .00

**Maintenance Fee Info**

Date Fee Paid  Fee Amt

Next Fee Due  Amt Due

Record: 1/1

## Adding a New Status Event

Users may enter new status events and corresponding US Prosecution Fee information. To add a new status record, select the 'Add Status Record' button. The highlighting will change color to indicate that the list is now in 'Add' Mode. A new status record will be created and it will default the Event number to the next available sequence number and default the date to the current date. Both fields are modifiable by the user. The Event numbers were created to allow users that are entering comments to link one event to another event by referencing the event numbers. The user must select a Patent Status Code before saving. *Enter any associated fee and the due date for the fee. The fee data is very important as it is used for budgetary reports and licensing requirements.* If this is a critical event, the user should check the critical box. Upon payment or completion, the user must return and enter a completed date. The user may enter as many status records as required by scrolling down the list while in Add mode. Upon saving, the list will return to normal modify mode.

To enter comments for the selected status/fee records, click on the 'View/Modify Comments' button.

To delete a status/fee record, highlight the desired record and click on 'Delete Status Record'.

**Oracle Forms Runtime**  
File Edit Action Record Reference Tables Prints Window Help

**Agricultural Research Information System (ARIS) - Work**

**ARIS** **Inventions - Patent Dockets**  
Docket 0085.03 Serial 00/000,000 Patent 0,000,000 Patent Advisor GRAETER JANELLE

List Invention Inv(cont) **Status/Event** Disclosure Abstract Inventors Foreign Filing Signatures Patent Family

**Status/Prosecution Fees**

Disp [2]	Event	Date	Status	Amount	Due Date	Critical	Completed Date
<input type="checkbox"/>	1	08/04/2003	AD New Disclosure, no	?		<input type="checkbox"/>	
<input type="checkbox"/>	2	08/04/2003	CP Awaiting Applicati	500.00	04/15/2003	<input checked="" type="checkbox"/>	
<input type="checkbox"/>				?		<input type="checkbox"/>	
<input type="checkbox"/>				?		<input type="checkbox"/>	
<input type="checkbox"/>				?		<input type="checkbox"/>	
<input type="checkbox"/>				?		<input type="checkbox"/>	
<input type="checkbox"/>				?		<input type="checkbox"/>	

Manually Calculated Prosecution Total \$ .00 X Calculate Total  
Prosecution Fee Total \$ .00

Add Status Record View/Modify Comments Delete Status Record

**Maintenance Fee Info**  
Date Fee Paid Fee Amt \$0  
Next Fee Due Amt Due \$0

Record: 2/2



Additionally, the capability has been provided to calculate the total of all fees entered in this list. The user would select the button with the 'X' to mark all the records, or the user may selectively mark certain records by checking the box next to the Amount field. Once the desired records have been selected, the user must click the 'Calculate Total' button which will show the total in the Prosecution Total field.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Patent Dockets**

Docket 0095.03 Serial 00/000,000 Patent 0,000,000 Patent Advisor GRAETER JANELLE

List Invention Inv(cont) Status/Event Disclosure Abstract Inventors Foreign Filing Signatures Patent Family

**Status/Prosecution Fees**

Disp (2)	Event	Date	Status	Amount	Due Date	Critical	Completed Date
<input checked="" type="checkbox"/>	1	06/09/2003	AD New Disclosure, nd	.00		<input type="checkbox"/>	
<input type="checkbox"/>	2	07/01/2003	CP Awaiting Applicati	500.00		<input type="checkbox"/>	
<input type="checkbox"/>	3	07/01/2003	DF One Year to File N	1,500.00		<input type="checkbox"/>	
<input type="checkbox"/>						<input type="checkbox"/>	
<input type="checkbox"/>						<input type="checkbox"/>	
<input type="checkbox"/>						<input type="checkbox"/>	
<input type="checkbox"/>						<input type="checkbox"/>	
<input type="checkbox"/>						<input type="checkbox"/>	

Manually Calculated Prosecution Total \$2,000.00 X Calculate Total

Prosecution Fee Total \$.00

Add Status Record View/Modify Comments Delete Status Record

**Maintenance Fee Info**

Date Fee Paid Fee Amt \$0

Next Fee Due Amt Due \$0

Record: 1/3

## Disclosure/Detailed Descriptions

It is required that the user answer four questions to disclose the invention. The responses to these questions provide a complete description of the invention. Upon clicking the Disclosure tab, the user will see a tab for each question. The user should answer each question.

### Question 1

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
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ARIS  
Inventions - Patent Dockets  
Docket 0095.03 Serial 00/000,000 Patent 0,000,000 Patent Advisor GRAETER JANELLE  
List Invention Inv(cont) Status/Event Disclosure Abstract Inventors Foreign Filing Signatures Patent Family  
Disclosure Descriptions  
Desc (Q1) Desc (Q2) Desc (Q3) Desc (Q4)  
Question 1  
Give a brief description of your invention. Tell what the invention is, how it works, what problem it solves, and what impact it may have on agriculture. If there are alternative ways of using your invention, describe them and indicate which is best.  
Response  
Clear Response  
Record: 1/1

If the user is copying text from another application and wish to paste that text into the response field, the user may double-click the response field to bring up a text editor. Then paste the copied text into this editor using the normal paste function (Ctrl-V).

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Reference Tables Prints Help  
ARIS  
Inventions - Patent Dockets  
Docket 0095.03 Serial 00/000,000 Patent 0,000,000 Patent Advisor GRAETER JANELLE  
List Invention Inv(cont) Status/Event Disclosure Abstract Inventors Foreign Filing Signatures Patent Family  
Editor  
OK Cancel Search  
Record: 1/1

## Question 2

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**ARIS** **Inventions - Patent Dockets**

Docket 0095.03 Serial 00/000,000 Patent 0,000,000 Patent Advisor GRAETER JANELLE

List | Invention | Inv(cont) | Status/Event | Disclosure | Abstract | Inventors | Foreign Filing | Signatures | Patent Family

**Disclosure Descriptions**

Desc (Q1) Desc (Q2) Desc (Q3) Desc (Q4)

**Question 2**

Discuss commercial potential and advantages over state of the art. If possible, express in terms of estimated percentage of industry likely to accept invention, projected unit or dollar market, estimated cost savings, premium that novel advantage will bear in the market, etc.

**Response**

Clear Response

Record: 1/1

## Question 3

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Patent Dockets**

Docket 0084.03 Serial 00/000,000 Patent 0,000,000 Patent Advisor GRAETER JANELLE

List | Invention | Inv(cont) | Status/Event | Disclosure | Abstract | Inventors | Foreign Filing | Signatures | Patent Family

**Disclosure Descriptions**

Desc (Q1) Desc (Q2) Desc (Q3) Desc (Q4)

**Question 3**

List any publications, patents, abstracts of oral presentations outside of ARS, CRIS progress reports, etc., related to your invention which have been written by you or others; include date of publication. Also include any manuscripts you have in preparation. Attach copies of all above-mentioned items that are available. If your invention has been used in public, sold or offered for sale, give the date and circumstances.

OK Cancel Search

**Response**

Clear Response

Record: 1/1

#### Question 4

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Patent Dockets**

Docket 0095.03 Serial 00/000,000 Patent 0,000,000 Patent Advisor GRAETER JANELLE

List Invention Inv(cont) Status/Event Disclosure Abstract Inventors Foreign Filing Signatures Patent Family

**Disclosure Descriptions**

Desc (Q1) Desc (Q2) Desc (Q3) Desc (Q4)

**Question 4**

List any other people who have worked with you on your invention. Identify employers of any non-USDA individuals.

**Response**

Clear Response

Record: 1/1

## Abstract Screen

Only Headquarter level users are allowed to enter, modify or view Abstracts. If the user is authorized, the Abstract tab will be available. The user may type directly into the large text field, or may cut and paste from another application into this field. To display the contents of this field in a text editor, simply double click in the box or choose Edit -> Editor from the menu.


The screenshot shows a web-based application window titled "Oracle Developer Forms Runtime - Web". The main title bar reads "Agricultural Research Information System (ARIS) - Work". Below the title bar is a menu bar with "File", "Edit", "Action", "Record", "Reference Tables", "Prints", and "Help". A toolbar with various icons is located below the menu bar. The main content area is titled "Inventions - Patent Dockets" and features a search bar with fields for "Docket" (0006.02), "Serial" (00/000,000), "Patent" (0,000,000), "Patent Advisor" (LIPOVSKY), and "JOSEPH". Below the search bar is a tabbed interface with tabs for "List", "Invention", "Inv(cont)", "Status/Event", "Disclosure", "Abstract", "Inventors", "Foreign Filing", "Signatures", and "Patent Family". The "Abstract" tab is currently selected, displaying a large text area for entering the abstract. The bottom status bar shows "Record: 1/1".

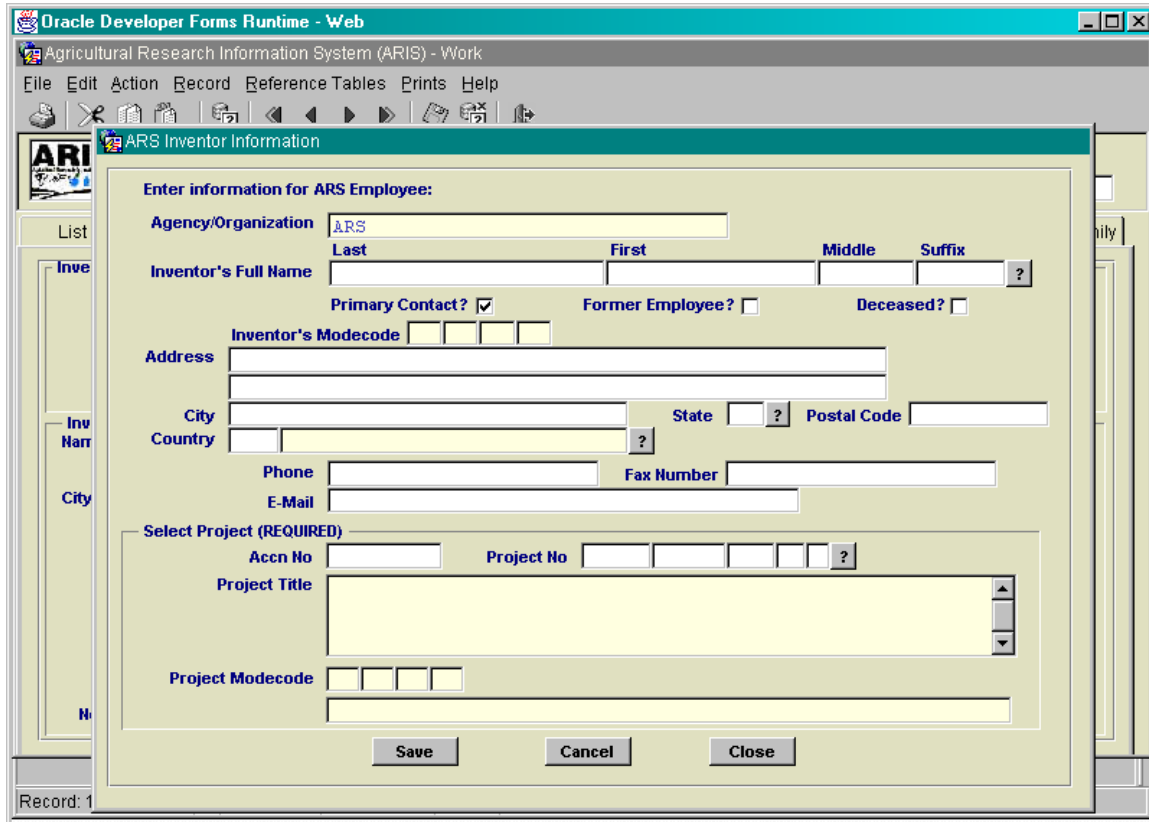
## Inventor Screens

The user entering the invention will be required to select at least one inventor who is designated as the Primary Contact before he will be allowed to approve the invention. The inventor designated as the Primary Contact will be considered the Lead Inventor. *The Modecode for the project of the lead inventor (primary contact) will be used for the invention. This is important since many users have modecode restrictions and although you are allowed to pick any ARS person as the lead inventor, if you do not have access to his modecode assignment, the invention record will 'disappear' from your work queue.*

The Main Inventor screen presents the list of inventors and details for the inventor selected on the list. The following sections will show how to Add an ARS or a Non-ARS Inventors.

## Adding an ARS Inventor

To enter an ARS Inventor, click the <Add ARS Inventor> button on the Inventor tab page. This will display screen below. The Agency will default to ARS and will not be modifiable. The user will query and select from a list of ARS employees by clicking the  button. *Do not attempt to directly enter the ARS employees name as the application must retrieve additional information about the employee from the employee's personnel record.*



The screenshot shows a web-based form titled "ARS Inventor Information" within the "Agricultural Research Information System (ARIS) - Work" application. The form is designed for entering information for an ARS employee. It includes fields for Agency/Organization (defaulted to ARS), Inventor's Full Name (split into Last, First, Middle, and Suffix), Primary Contact? (checked), Former Employee? (unchecked), Deceased? (unchecked), Inventor's Modcode, Address, City, State, Postal Code, Country, Phone, Fax Number, E-Mail, Select Project (REQUIRED) (with Accn No and Project No fields), Project Title, and Project Modcode. The form has a "Save" button, a "Cancel" button, and a "Close" button. The status bar at the bottom indicates "Record: 1".

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

ARS Inventor Information

Enter information for ARS Employee:

Agency/Organization

Inventor's Full Name Last  First  Middle  Suffix 

Primary Contact? ☒ Former Employee? ☐ Deceased? ☐

Inventor's Modcode

Address

City  State  Postal Code

Country  ?

Phone  Fax Number

E-Mail

Select Project (REQUIRED)


Accn No  Project No

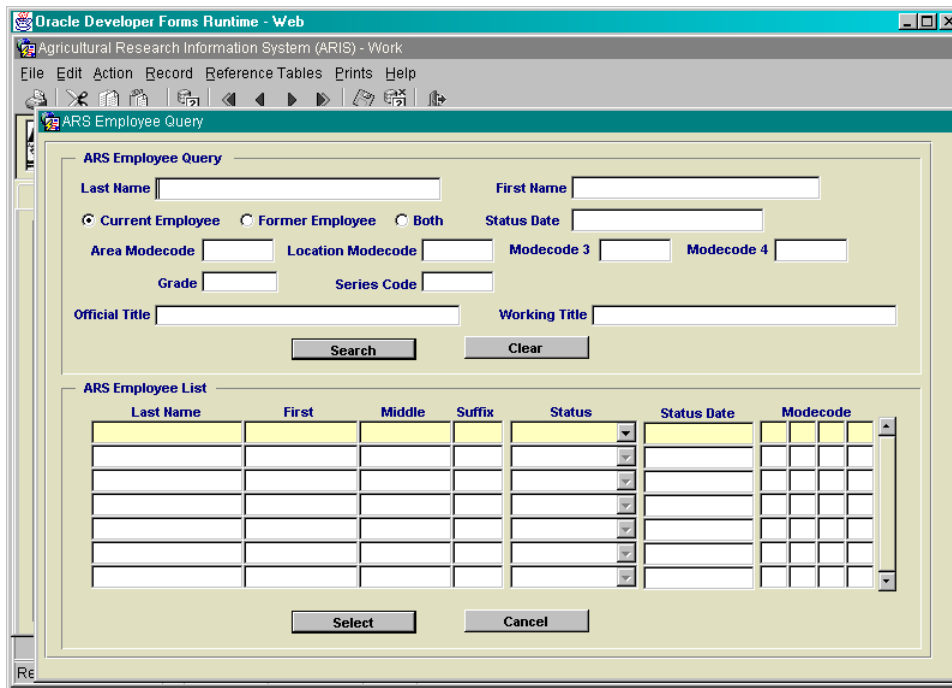
Project Title

Project Modcode

Save Cancel Close

Record: 1

Selecting the  beside the Inventor name field will display the following screen:



**ARS Employee Query**

Last Name  First Name

☒ Current Employee ☐ Former Employee ☐ Both Status Date

Area Modecode  Location Modecode  Modecode 3  Modecode 4

Grade  Series Code

Official Title  Working Title

**ARS Employee List**

Last Name	First	Middle	Suffix	Status	Status Date	Modecode

This is an interactive screen where the user may enter query criteria, hit <Search> and review the list of employees returned, clear or modify the criteria, hit <Search> again and retrieve a new list. There are options for searching only current employees, only former employees (retired or left the agency) or both. Select the corresponding radio button for Current Employee, Former Employee, or Both. The default is to only search current employees.

In this example, the user is retrieving all employees in Modecode 12-65-20. The user will then scroll the list, or modify the criteria and search again. Once the correct employee has been found, enter the <Select> button.



**ARS Employee Query**

Last Name:  First Name:

☒ Current Employee ☐ Former Employee ☐ Both Status Date:

Area Modecode:  Location Modecode:  Modecode 3:  Modecode 4:

Grade:  Series Code:

Official Title:  Working Title:

**ARS Employee List**

Last Name	First	Middle	Suffix	Status	Status Date	Modecode
BANNERMAN	DOUGLAS	D		Current...	08/23/2002	12 65 20 00
BESHAH	ETHIOPIA			Current...		12 65 20 00
BILHEIMER	JENNIFER			Current...		12 65 20 00
BOWMAN	MARY	E		Current...		12 65 20 00
BOYD	PATRICIA			Current...		12 65 20 00
CATES	ELIZABETH	A		Current...	12/09/2002	12 65 20 00
CHONG	YI	H		Current...		12 65 20 00

This will return the selected employee to the previous Add ARS Inventor screen. Since this is the first inventor, the application has set the default for this person to the Primary Contact. The user may change this setting. The user may also now enter additional information about the employee including phone, fax and email. The user may also check if this is a former employee or if the employee is known to be deceased. The next step is to choose the project the employee is assigned under while working on this invention. Click the next to Project No.

**Enter information for ARS Employee:**

Agency/Organization:

Inventor's Full Name: Last:  First:  Middle:  Suffix:

Primary Contact? ☒ Former Employee? ☐ Deceased? ☐

Inventor's Modecode:

Address:

City:  State:  Postal Code:

Country:

Phone:  Fax Number:

E-Mail:

Select Project (REQUIRED):

Accn No:  Project No:

Project Title:

Project Modecode:

This will automatically look for projects the employee is assigned to as an investigator in the ARS subsystem. The results will be displayed in a list as shown below. *If the desired*

*project is not shown, the user may clear the query criteria and requery on new criteria. The user must clear out the previous query criteria before searching on another field such as Accn No. Once the correct project has been found, highlight it, and push the <Select> button.*

**Project Query**

Area Modecode: [ ] Location Modecode: [ ] Modecode 3: [ ] Modecode 4: [ ]

Accn No: [ ] Project No: [ ] Type: [D]

Title: [ ]

Project Start: [ ] Project End: [ ] Status: [Active]

Emp ID: JLU48539 Last Name: LUNNEY% First Name: JOAN%

[Search] [Clear]

**Project List**

Project No	Modecode	Prj Title	Status Code	Start Date	Term Date
1265 32000 064 00 D	12 65 20 00	STRATEGIES TO CC	Active	01/26/2001	01/25/2006

[Select] [Cancel]

This will return the project information to the previous screen:

**Enter information for ARS Employee:**

Agency/Organization: [ARS]

Inventor's Full Name: [LUNNEY] [JOAN] [K] [ ]

Primary Contact? ☒ Former Employee? ☐ Deceased? ☐

Inventor's Modecode: [12] [65] [20] [00]

Address: [10300 BALTIMORE BLVD.]

[BLDG. 1040, RM. 105, BARC-EAST]

City: [BELTSVILLE] State: [MD] Postal Code: [20705]

Country: [US] [UNITED STATES]

Phone: [ ] Fax Number: [ ]

E-Mail: [ ]

**Select Project (REQUIRED)**

Accn No: [0403992] Project No: [1265] [32000] [064] [00] [D] [ ]

Project Title: [STRATEGIES TO CONTROL SWINE PARASITES AFFECTING FOOD SAFETY]

Project Modecode: [12] [65] [20] [00]

[ANIMAL AND NATURAL RESOURCES INSTITUTE]

[Save] [Cancel] [Close]

All required information has been entered and the user may save the record by selecting the <Save> button. To exit without saving, select <Cancel>.

The main tab will be redisplayed with the new inventor information.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Patent Dockets**

Docket 0095.03 Serial 00/000,000 Patent 0,000,000 Patent Advisor GRAETER JANELLE

List Invention Inv(cont) Status/Event Disclosure Abstract Inventors Foreign Filing Signatures Patent Family

**Inventor List**

Name (Last, First, MI, Suffix)	Primary Contact	Former Emp	Deceased
LUNNEY, JOAN K	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Add ARS Inventor Add Non-ARS Inventor View/Modify Inventor Delete Inventor

**Inventor Details**

Name LUNNEY, JOAN K Modecode 12 65 20 00

Address 10300 BALTIMORE BLVD. BLDG. 1040, RM. 105, BARC-EAST

City, State, Postal Code BELTSVILLE MD 20705 Country US

Phone Fax Number

E-Mail

Acen No 0403992 Project No 12 65 32000 064 00 D

Project Title STRATEGIES TO CONTROL SWINE PARASITES AFFECTING FOOD SAFETY

Project Modecode 12 65 20 00 ANIMAL AND NATURAL RESOURCES INSTITUTE

Agency/Organization ARS

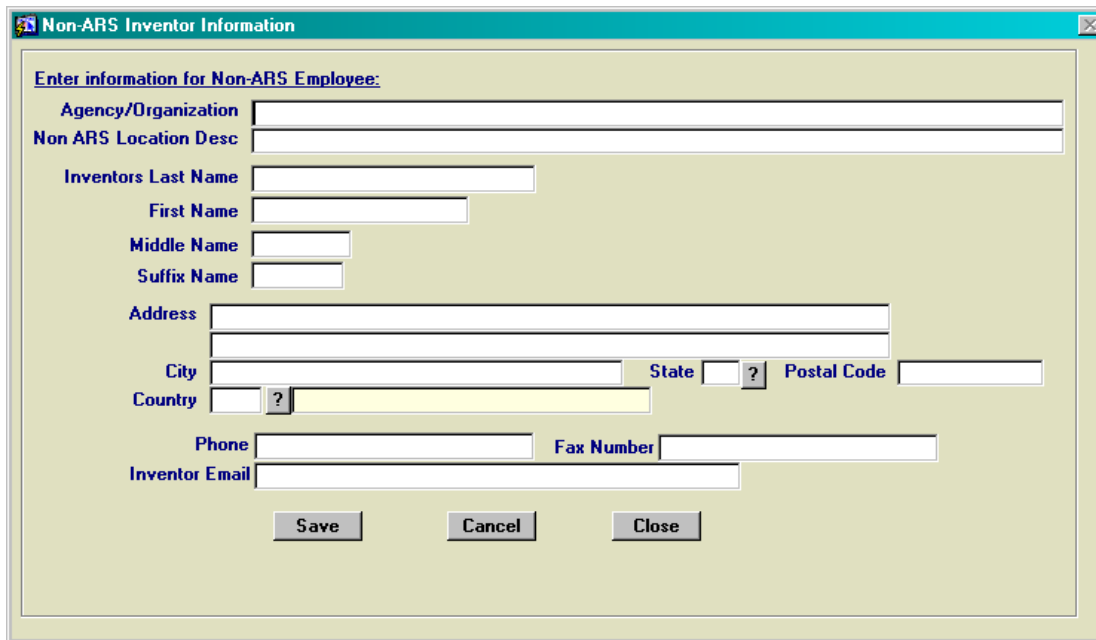
Non ARS Location Desc

FRM-40400: Transaction complete: 1 records applied and saved.

Record: 1/1

## Adding a Non-ARS Inventor

To add a Non-ARS Inventor, select the 'Add Non-ARS Inventor' button from the main Inventor tab screen and the following will display:



The image shows a software window titled "Non-ARS Inventor Information". Inside the window, there is a section titled "Enter information for Non-ARS Employee:". Below this title, there are several input fields for data entry. The fields are arranged in a vertical list: "Agency/Organization", "Non ARS Location Desc", "Inventors Last Name", "First Name", "Middle Name", "Suffix Name", "Address", "City", "State" (with a dropdown arrow), "Postal Code", "Country" (with a dropdown arrow), "Phone", "Fax Number", and "Inventor Email". At the bottom of the form, there are three buttons: "Save", "Cancel", and "Close".

Non-ARS Inventor Information

Enter information for Non-ARS Employee:

Agency/Organization

Non ARS Location Desc

Inventors Last Name

First Name

Middle Name

Suffix Name

Address

City  State  Postal Code

Country

Phone  Fax Number

Inventor Email

Save Cancel Close

All information for a Non-ARS inventor must be entered manually. The Agency/Organization name will accommodate 100 characters. *For consistency of use and to aid in querying, the business rule is to enter the full name of the Agency or Organization (e.g. University of Illinois at Urbana-Champaign).* There are List of Values available for State and Country codes.

**Non-ARS Inventor Information**

Enter information for Non-ARS Employee:

Agency/Organization: IOWA STATE UNIVERSITY

Non ARS Location Desc: Ames, IA

Inventors Last Name: CARLIN

First Name: JOHN

Middle Name:

Suffix Name:

Address: 890 Tree Way

City: AMES State: IA Postal Code: 52218

Country: US UNITED STATES

Phone: 515-444-4545 Fax Number:

Inventor Email: jcarlin@hotmail.com

Save Cancel Close

Once the data for the Non-ARS inventor has been entered, select the Save button. The application will be returned to the list and will display all inventors.

**Oracle Developer Forms Runtime - Web**

**Agricultural Research Information System (ARIS) - Work**

File Edit Action Record Reference Tables Prints Help

**ARIS**

**Inventions - Patent Dockets**

Docket: 0095.03 Serial: 00/000,000 Patent: 0,000,000 Patent Advisor: GRAETER JANELLE

List Invention Inv(cont) Status/Event Disclosure Abstract Inventors Foreign Filing Signatures Patent Family

**Inventor List**

Name (Last, First, MI, Suffix)	Primary Contact	Former Emp	Deceased
LUNNEY JOAN K	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CARLIN JOHN	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Add ARS Inventor Add Non-ARS Inventor View/Modify Inventor Delete Inventor

**Inventor Details**

Name: CARLIN JOHN Modecode:

Address: 890 Tree Way

City, State, Postal Code: AMES IA 52218 Country: US

Phone: 515-444-4545 Fax Number:

E-Mail: jcarlin@hotmail.com

Acqn No: Project No:

Project Title:

Project Modecode:

Agency/Organization: IOWA STATE UNIVERSITY

Non ARS Location Desc: AMES, IOWA

Record: 2/2

## Foreign Filing Screens

Headquarters level personnel are authorized to enter Foreign Filing information for the invention. To enable the Foreign Filing tab, the user must indicate that on the Inv (cont) tab that Foreign Rights are Available. That will enable the Foreign Filing tab and the user will be able to enter Foreign Filing information.

The screenshot shows the Oracle Developer Forms Runtime - Web interface for the Agricultural Research Information System (ARIS) - Work. The main window is titled "Inventions - Patent Dockets". The top menu bar includes File, Edit, Action, Record, Reference Tables, Prints, and Help. The top toolbar contains icons for file operations and navigation. The main form area is divided into several sections:

- Header Section:** Includes fields for Docket (0007.02), Serial (00/000,000), Patent (0,000,000), Patent Advisor (LIPOVSKY), and JOSEPH.
- Navigation Tabs:** List, Invention, Inv(cont), Status/Event, Disclosure, Abstract, Inventors, Foreign Filing (selected), Signatures, Patent Family.
- Form Fields:**
  - US Filing Date: [Text Field]
  - US Application Status: [Text Field]
  - Foreign Rights Available?: [Dropdown Menu]
  - CRADA: [Dropdown Menu]
  - Worldwide Rights Assignment Notification: [Dropdown Menu]
  - Active License: [Dropdown Menu]
  - Notification Deadline: [Text Field]
  - Number of Licensees: [Text Field]
  - Foreign Filing Comments: [Text Area]
- Action Buttons:** Add Foreign Filing, Delete Foreign Filing, Foreign Filing Expenses.
- PCT/Non-PCT Info Section:**
  - PCT/Non-PCT Filing Deadline: [Text Field]
  - PCT Desired?: [Dropdown Menu]
  - PCT Application No: [Text Field]
  - Non-PCT Natl Desired?: [Dropdown Menu]
  - PCT Filed?: [Dropdown Menu]
  - Demand Date: [Text Field]
  - Non-PCT Natl Filed?: [Dropdown Menu]
  - PCT Filing Date: [Text Field]
  - Publication No: [Text Field]
  - Publication Date: [Text Field]
- View/Modify Buttons:** View/Modify PCT, View/Modify Non-PCT, View/Modify National Filing.

The bottom status bar shows "Record: 1/1".

## Foreign Filing Information

The Foreign Filing tab screen will only be available for data entry if the Foreign Rights Available on the Inv (cont) tab screen is set to 'Yes'. To add a new Foreign Filing record, select the 'Add Foreign Filing' button. This will populate some defaults as shown here, the US Filing Date defaults to the Date the Application was Filed, the US Application Status defaults to the most recent patent status, Foreign Rights Available defaults to Yes and CRADA and Active Licenses defaults to No. The user may not modify the US Application Status; the patent status is maintained on the Status/Event tab screen.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**Inventions - Patent Dockets**

Docket: 0007.02 Serial: 00/000,000 Patent: 0,000,000 Patent Advisor: LIPOVSKY JOSEPH

List Invention Inv(cont) **Status/Event** Disclosure Abstract Inventors Foreign Filing Signatures Patent Family

US Filing Date: 07/01/2002 US Application Status: AD New Disclosure, not yet considered by Commit

Foreign Rights Available? Yes CRADA No

Worldwide Rights Assignment Notification Active License No

Notification Deadline Number of Licensees

Foreign Filing Comments

Add Foreign Filing Delete Foreign Filing Foreign Filing Expenses

PCT/Non-PCT Info

PCT/Non-PCT Filing Deadline

PCT Desired? PCT Application No Non-PCT Natl Desired?

PCT Filed? Demand Date Non-PCT Natl Filed?

PCT Filing Date Publication No Publication Date

View/Modify PCT View/Modify Non-PCT View/Modify National Filing

Record: 1/1

The user must complete the foreign filing information including the Worldwide Rights Assignment Notification and Foreign Filing Comments. Once this data has been entered, the user should save the record and the Notification Deadline and PCT/Non-PCT Filing Deadline will calculate automatically. Under the PCT (Patent Cooperation Treaty), you have 12 months from the US Filing date to file a PCT country application. Under the Paris Convention, you have 12 months to file a Non-PCT country application to hold your option to protect your patent rights in those countries. Therefore, the PCT/Non-PCT Filing deadline is calculated as 12 months after the US Filing Date:

Once complete, select the Save option on the menu or the toolbar. Then the user may enter Foreign Filing Expenses, PCT, Non-PCT and National Filing information.



Foreign Filing Expenses

To add Foreign Filing expenses, click on the Foreign Filing Expenses button and the following will display:

The screenshot shows a web-based form titled "Foreign Filing Expenses" within the "ARIS - Patent Dockets" application. The form is displayed in a window titled "Oracle Developer Forms Runtime - Web". The form includes a table with the following columns: "Docket No", "FY", "Country", "Invoice Date", and "Amount". The table has 10 rows. Below the table, there is a "Calculate Total" button and a text field for the total. At the bottom of the form, there are buttons for "Add", "Save", "Delete", and "Close". The form also includes a "Comments for Selected Record" text area and a "List" button on the left side.

This screen allows list add of Foreign Filing expenses associated with different countries.

To add records, select Add:

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Reference Tables Prints Help

**ARIS** Inventions - Patent Dockets  
Foreign Filing Expenses

List

FY	Country	Invoice Date	Amount
2003		?	
		?	
		?	
		?	
		?	
		?	
		?	
		?	
		?	
		?	

X Calculate Total \$ .00

Comments for Selected Record

Add Save Delete Close

Record: 1/1

The FY will default to the current FY and the user must enter the country, invoice date and amount. The following example shows multiple entries:

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Reference Tables Prints Help

**ARIS** Inventions - Patent Dockets  
Foreign Filing Expenses

List

FY	Country	Invoice Date	Amount
2003	GB UNITED KINGDOM EP	07/05/2002	\$2,300.00
2003	AU AUSTRALIA	07/02/2002	\$500.00
		?	
		?	
		?	
		?	
		?	
		?	
		?	
		?	

X Calculate Total \$2,800.00

Comments for Selected Record

Add Save Delete Close

Record: 1/2

To save, select <Save>. To delete an expense record, select it on the list and then select <Delete>. To close this pop-up and return to the Foreign Filing tab, select <Close>.

## Adding PCT Info

To add/modify PCT information, select the <View/Modify PCT > button. This will display the following:

The screenshot shows the 'Inventions - Patent Dockets' form in the ARIS system. The 'PCT' tab is active. The form contains the following fields and sections:

- Header:** Docket No: 0007.02, Serial: 000/000.000, Patent: 0.000.000, Patent Advisor: T.TPOVSKY, JOSEPH
- Left Panel:**
  - US Filing Date: 07/01/2002
  - Worldwide Rights Assignment
  - Notification
  - Foreign Filing Comment
  - Add Foreign Filing
  - PCT/Non-PCT Info
  - PCT Desired? (checkbox)
  - PCT Filed? (checkbox)
  - PCT Filing Date
  - View/Modify PCT button
- Main Form:**
  - Docket No: 0007.02, PCT File Date: 07/01/2002
  - Status: (dropdown menu)
  - Elections: A table with 10 rows, each with a country code (AU, GB, etc.) and a status (?).
  - Natl Filing Deadline: 01/01/2005
  - Buttons: Add, Save, Delete, Close
- Right Panel:** Patent Family, Commit button

You have at least 30 months after your priority date (US Filing Date) to file country applications in PCT application countries to secure your patent rights. Therefore, the National Filing Deadline is calculated as 30 months from the US Filing Date. PCT/Non-PCT Filing Deadline. There is one status associated with all PCT countries. To enter PCT countries, select <Add>. Type in the Patent Country Code or use the LOV <?> to select the country. Select <Save> to save the entries, and then <Close> to return to the Foreign Filing tab screen.

The screenshot shows the 'Inventions - Patent Dockets' form in the ARIS system, similar to the previous one, but with the 'Elections' table populated:

Country Code	Status	Country Name
AU	?	AUSTRALIA
GB	?	UNITED KINGDOM EP
	?	
	?	
	?	
	?	
	?	
	?	
	?	
	?	

At the bottom of the form, there are three buttons: View/Modify PCT, View/Modify Non-PCT, and View/Modify National Filing. A status bar at the bottom indicates: FRM-40400: Transaction complete: 2 records applied and saved. Record: 1/2

## Adding Non-PCT Info

To add/modify Non-PCT information, select the <View/Modify Non-PCT > button. This will display the following:

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**Inventions - Patent Dockets**

Docket	Serial	Patent	Patent Advisor	Inventor
0007.02	00/000,000	0,000,000	LIPOVSKY	JOSEPH

List Invention

**Non-PCT**

Docket No 0007.02

Countries

?	
?	
?	
?	
?	
?	
?	
?	
?	
?	

Add Save Delete Close

US Filing Date 07/01/ Foreign

Worldwide Rights Assi Notification

Foreign Filing Commen

Add Fore

PCT/Non-PCT Info


PCT Desired? Ye

PCT Filed? Ye

PCT Filing Date 07/01/

View/Modify

Record: 1/1 ... List of Valu...

To add non-PCT countries, type in the Patent Country Code or use the  button to look up the correct country. When finished select <Save> to save the entries, and <Close> to return to the Foreign Filing tab screen. Countries may be deleted by selecting the record on the list and then selecting <Delete>.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**Inventions - Patent Dockets**

Docket 0007.02 Serial 00/000,000 Patent 0,000,000 Patent Advisor LIPOVSKY JOSEPH

List Invention

**Non-PCT**

US Filing Date 07/01/

Foreign

Worldwide Rights Assig

Notification

Foreign Filing Commen

Add Fore

PCTNon-PCT Info

PCT Desired? Yes

PCT Filed? Yes

PCT Filing Date 07/01/

View/Money

Docket No 0007.02

Countries

BO	?	BOLIVIA
SV	?	EL SALVADOR
	?	
	?	
	?	
	?	
	?	
	?	
	?	
	?	

Add Save Delete Close

FRM-40400: Transaction complete: 2 records applied and saved.

Record: 1/2 ... List of Valu...

## Adding National Filing Info

The National Filing screen functionality has been expanded to allow users to add/delete countries that are in the National Filing Stage and track Application No, Patent No and Patent info for each specific country. The Critical Event is to be used by OTT personnel to track specific events related to the National Filing Stage.

To add/modify National Filing information, select the <View/Modify National Filing > button. This will display entries for each country that was designated under the PCT info or Non-PCT info, and will allow the user to capture detailed information on the National Filing Stage.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Reference Tables Prints Help

National Filing

Docket No 0007.02

Country	Status	App No	App Date	Patent No	Issue Date	Critical Event	Date	Exp Date
AU ? AUSTRALIA	?							
BO ? BOLIVIA	?							
GB ? UNITED KINGDOM EP	?							
SV ? EL SALVADOR	?							

Add Save Delete Close

The following shows an example with some additional data entry:

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Reference Tables Prints Help

National Filing

Docket No 0007.02

Country	Status	App No	App Date	Patent No	Issue Date	Critical Event	Date	Exp Date
AU ? AUSTRALIA	P ? Pending	5678-90	08/01/2003			A Request for Examination Due	08/15/2003	
BO ? BOLIVIA	M ? Abandoned							
GB ? UNITED KINGDOM EP	S ? Narrowed at National	UK-3748	08/01/2003			E Issue Fee Due	09/01/2003	
SV ? EL SALVADOR	?							

Add Save Delete Close

## Adding a National Filing Country

The National Filing capability has been expanded to allow the user to manually add a country directly to the National Filing stage. PCT and Non-PCT countries are automatically added to the National Filing records. To add a country directly, select the <Add> button. This will put the list in Add mode indicated by the creation of a new row and a change in the highlight color.

The screenshot shows the 'National Filing' window in Oracle Developer Forms Runtime. The window title is 'Agricultural Research Information System (ARIS) - Work'. The menu bar includes 'File', 'Edit', 'Action', 'Record', 'Reference Tables', 'Prints', and 'Help'. The toolbar contains various icons for file operations. The main area displays a list of countries with the following fields: Country, App No, App Date, Patent No, Issue Date, Critical Event, Date, and Exp Date. The 'Add' button is highlighted in green. The list shows three countries: BOLIVIA (Status: Abandoned), UNITED KINGDOM EP (Status: Narrowed at National), and EL SALVADOR (Status: ?). A new row is being added at the bottom, highlighted in green, with fields for Country, App No, App Date, Patent No, Issue Date, Critical Event, Date, and Exp Date.

Either directly type in a valid Patent Country Group code or use the  button to display a list of values. Enter a status code or use the  button to display a list of values. Enter other data as needed. Select <Save> to commit the changes. The following is an example:

The screenshot shows the 'National Filing' window after adding a new country. The list now includes four countries: AUSTRALIA (Status: Pending), BOLIVIA (Status: Abandoned), DENMARK (Status: Pending), and UNITED KINGDOM EP (Status: Narrowed at National). The 'Add' button is still highlighted. The new row at the bottom is still highlighted in green, with fields for Country, App No, App Date, Patent No, Issue Date, Critical Event, Date, and Exp Date.

Denmark was added and after saving, the list redisplayed in alphabetical order by country code. Select <Close> to exit the National Filing screen.

## Patent Family

The Patent Family tab screen will automatically show the Patent Family for the Docket selected and being viewed. The area on the left of the screen will show the tree structure for the family. The top node will be labeled Parent, subsequent child nodes will be named by their type (e.g. Divisional). As the user selects nodes on the tree, summary information for the Docket selected will be shown on the right. A Docket will only be added to the family tree once it is approved and becomes 'Active'. Dockets that are new and in work may capture family information on the Invention tab screen but will not be displayed as part of the family until they are approved. A Docket that has already been in Active and then is brought into the work area for modifications will remain part of the Patent Family it was assigned to. This is view only information. To assign a patent to a family refer to the Adding an Invention section or the Patent Families section. The example below shows the Patent Family for the selected docket.

The screenshot displays the 'Inventions - Patent Dockets' form within the Oracle Developer Forms Runtime - Web environment. The title bar indicates 'Agricultural Research Information System (ARIS) - Active'. The menu bar includes 'File', 'Edit', 'Action', 'Record', 'Forms', 'Prints', and 'Help'. The toolbar contains various navigation and editing icons. The main content area is divided into two sections: a tree view on the left and a details panel on the right.

**Tree View:**

- [-] Parent 4008.91
  - [+] Continuation 0182.94

**Details Panel:**

**Docket Details**

- Docket No**: 0182.94 **FY**: 1994
- Serial No**: 08/286,111
- Patent No**: 5,648,390
- Date Patented**:
- Invention Title**: REPELLENTS FOR ANTS
- Inventor Last Name**: VANDER MEER
- Inventor First Name**: ROBERT
- Most Recent Status**: Patented

The bottom status bar shows 'Record: 1/1'.

## Signature Screen

To approve the invention work record, the user will sign in the correct signature block for their level. There are designated rules for the work flow of a work record. Usually, a Research Leader will approve the initial invention disclosure (work record) and it will be 'sent' to either the CD/LD/DAD for his area/location or directly to the Area Director depending on the user's security level. Alternatively, if necessary, a new record can be created at HQs. This shortens the approval process. Once the user has approved the record, the user will no longer see it in their work queue for modification. To view its current status, the user will need to access the Status screen off the main menu. The following example will show the Research Leader approving the new invention and then the display of its level in the Status screen.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** Inventions - Patent Dockets

Docket 0095.03 Serial 00/000,000 Patent 0,000,000 Patent Advisor GRAETER JANELLE

List Invention Inv(cont) Status/Event Disclosure Abstract Inventors Foreign Filing Signatures Patent Family

Title	Sig Code	Name	Date	Approve	Disapprove
<b>Field</b>					
Research Leader		Last: CORNELIA First: AGNES MI Suffix:	07/01/2003	<input checked="" type="checkbox"/>	<input type="checkbox"/>
CD/LD/DAD				<input type="checkbox"/>	<input type="checkbox"/>
Area Director				<input type="checkbox"/>	<input type="checkbox"/>
<b>Headquarters</b>					
LIE (Legal Instruments Examiner)				<input type="checkbox"/>	<input type="checkbox"/>
PA				<input type="checkbox"/>	<input type="checkbox"/>
OTT/HQ				<input type="checkbox"/>	<input type="checkbox"/>

Clear Signature Approve/Disapprove Approve to NPPC Approve to Official File

Record: 1/1

The Research Leader enters their name, approval date (will default to the current date) and checks Approve. Note, personnel who have signature codes will either manually enter their signature code or use the appropriate ? button to look up their code. They will not directly enter their name. Once the user has signed the record, they will choose the <Approve/Disapprove> button. There are numerous validation checks at this point to ensure the user has entered all required data before it can be sent to the next level. If the user receives a message that they need to correct or enter additional information, they will need to cancel their signature on this tab, complete the data entry/modification, and then resign the record.



OTT\_USERS\_GUIDE.doc - Microsoft Word

File Edit View Insert Format Tools Table Window Help

Oracle Developer Forms Runtime - Web

Licenses & Inventions Subsystem

File Active Status Work History Reference Tables Reports Help

- Inventions - Patent Dockets
- Inventions - Plant Material Dockets
- Inventions - Biological Material Dockets
- Licenses

Licenses & Inventions

[illegible]

## ***Plant Materials***

Screens have been added to support capturing information on Plant Material Dockets. They follow the same layout and process as US Patent Dockets. There is a Work form where new Plant Material Dockets are added and existing ones are modified, there is a Status form that shows all the Plant Material Dockets currently in work and their level, and there is an Active form which shows all approved Plant Material Dockets.

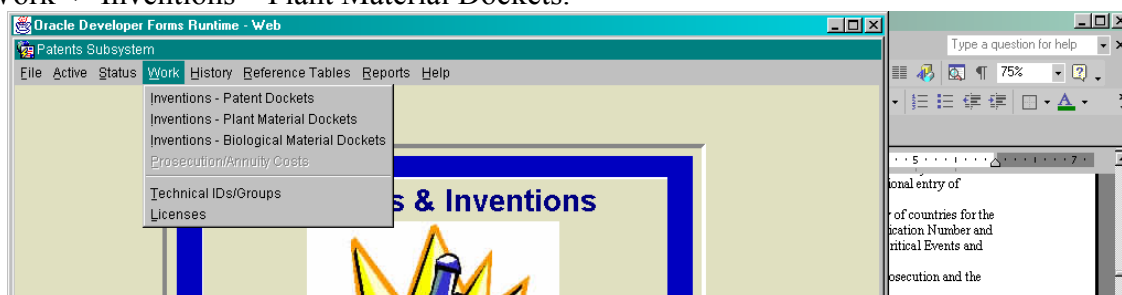
Plant Materials have some of the same information as regular Patent Dockets such as the requirement to answer Disclosure questions and identify the breeders (inventors) of the material. They also have unique information for organizations that are releasing, producing and storing the material and International Plant Breeders Rights. Their signature process includes Research Leaders, CD/LD/DADs, Area Directors, NPS Plant Materials Coordinator, Deputy Assistant Administrator for OTT and the Associate Deputy Administrator.

## **Plant Material Dockets – Work Records**

The user may create a new work record for a new Plant Material Docket using the Work Inventions – Plant Material Dockets screen. If there is an existing Plant Material Docket that needs modification, the user must first go to the Active -> Inventions – Plant Material Dockets screen, select the Plant Material Docket that requires modification, and then select Action -> Create Work Record.


## **Menu Selection**

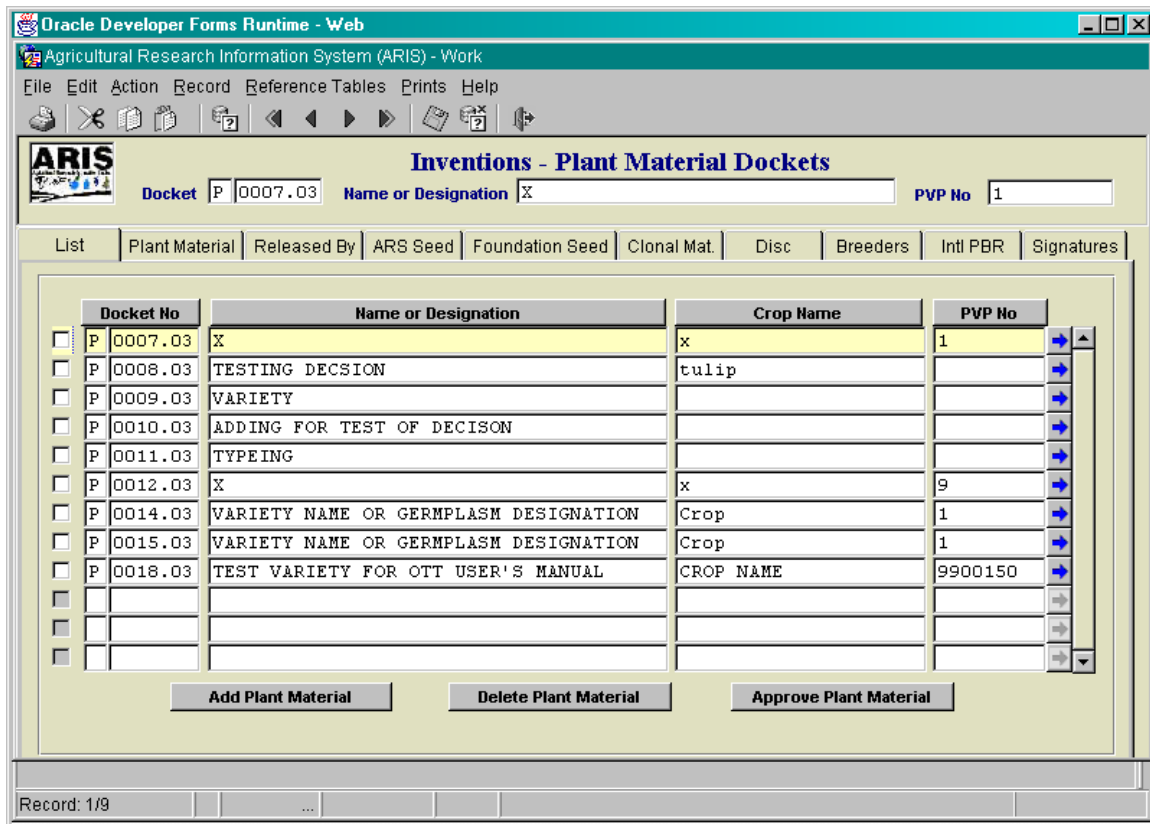
To access Work Records for Plant Material Dockets, select the Menu option Work -> Inventions – Plant Material Dockets.















## List Screen

The form will automatically query the work records that are applicable for your user level and modecode. The list screen will show the Docket Prefix (always a 'P' for Plant Materials), Docket Number, Fiscal Year, Name or Designation, Crop Name and PVP Number.

The  at the end of each record will let the user query and view licenses related to the selected Plant Material Docket.



	Docket No	Name or Designation	Crop Name	PVP No	
<input type="checkbox"/>	P 0007.03	X	x	1	
<input type="checkbox"/>	P 0008.03	TESTING DECISION	tulip		
<input type="checkbox"/>	P 0009.03	VARIETY			
<input type="checkbox"/>	P 0010.03	ADDING FOR TEST OF DECISION			
<input type="checkbox"/>	P 0011.03	TYPEING			
<input type="checkbox"/>	P 0012.03	X	x	9	
<input type="checkbox"/>	P 0014.03	VARIETY NAME OR GERMPLASM DESIGNATION	Crop	1	
<input type="checkbox"/>	P 0015.03	VARIETY NAME OR GERMPLASM DESIGNATION	Crop	1	
<input type="checkbox"/>	P 0018.03	TEST VARIETY FOR OTT USER'S MANUAL	CROP NAME	9900150	
<input type="checkbox"/>					
<input type="checkbox"/>					
<input type="checkbox"/>					

Record: 1/9

## Adding a Plant Material Docket

To add a new Plant Material Docket, select <Add Plant Material>.

When adding a Plant Material invention, certain fields are defaulted based on your user role and profile. For Field Level personnel, which includes Research Leaders, CD/LD/DADs, and Area Directors, the Docket No and FY will default for the current FY. The example below shows the screen for an invention being added by a Research Leader.

For Headquarters personnel, the Docket No and desired FY must be selected from an available list.

**Oracle Developer Forms Runtime - Web**

**Agricultural Research Information System (ARIS) - Work**

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Plant Material Dockets**

Docket  Name or Designation  PVP No

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat Disc Breeders Intl PBR

Docket No  P 0018.03 ? FY 2003

Variety Name or Germplasm Designation

Crop (Common Name)

Genus Name

Species Name

Should this variety be sold only as a class of certified seed?

GRIN Accn No  [Link to GRIN Database - Accession Area](#)

**Plant Variety Protection Info**

Is this plant material a candidate for variety protection (PVPC and/or Patent)?

PVP No  [Link to GRIN Database - Plant Variety Protection Info](#)

Application Date  Application Fee  Paid Date

Certificate Issued Date  Certificate Fee  Paid Date

Expiration Date  Years Protected

Patent Docket No  ? Patent No  Date Patented

Decision Date  **View/Modify Decision** Outcome

Record: 1/1

## Plant Info Screen

This tab displays the main information for the plant material. The required fields for initial data entry are:

Docket No

FY

Variety Name or Germplasm Designation

At that point the Plant Material Docket may be saved and data entry can be continued for Organizational, Breeder, Disclosure and International Plant Breeder's Rights information.

Additional information should then be entered. *The user should indicate whether the variety should be sold only as a class of certified seed.* If the answer is yes, the user will be required to answer disclosure questions 5 and 6 before approving the Plant Material Docket. The user should indicate whether the plant material is a candidate for variety protection. If there is a GRIN Accn No, enter in the field provided. Then clicking on the hyperlink 'Link to GRIN Database – Accession Area' will launch another internet window and automatically navigate to the GRIN Database for the Accession No entered (see example below). If there is a PVP No, enter in the field provided. Then clicking on the hyperlink 'Link to GRIN Database – Plant Variety Protection Info' will launch another internet window and automatically navigate to the PVP info for the PVP number entered (see example below).

Main screen example:

**Oracle Developer Forms Runtime - Web**  
Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Plant Material Dockets**

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat Disc Breeders Intl PBR Signatures

Docket No P 0018.03 FY 2003

Variety Name or Germplasm Designation TEST VARIETY FOR OTT USER'S MANUAL

Crop (Common Name) CROP NAME

Genus Name Genus

Species Name species

Should this variety be sold only as a class of certified seed? No

GRIN Accn No 293556 [Link to GRIN Database - Accession Area](#)

**Plant Variety Protection Info**  
Is this plant material a candidate for variety protection (PVPC and/or Patent)? Yes

PVP No 9900150 [Link to GRIN Database - Plant Variety Protection Info](#)

Application Date 01/02/2003 Application Fee \$500 Paid Date 01/30/2003

Certificate Issued Date 03/01/2003 Certificate Fee \$1,200 Paid Date 03/15/2003

Expiration Date Years Protected 17

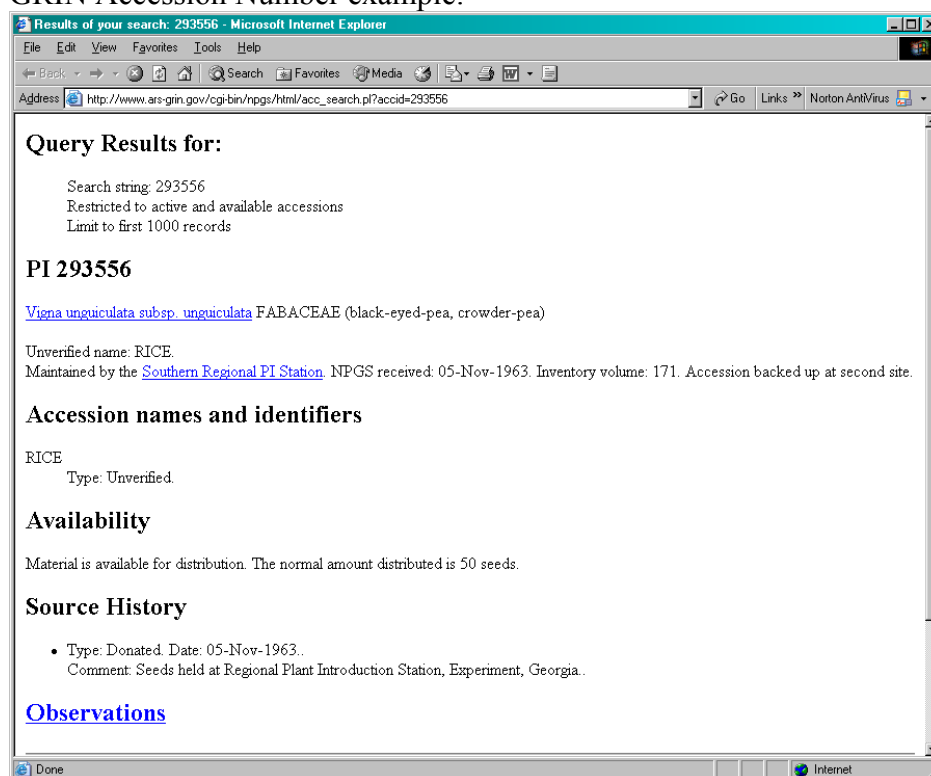
Patent Docket No ? Patent No Date Patented

Decision Date 07/01/2003 **View/Modify Decision** Outcome Variety Protection - US and Inter...

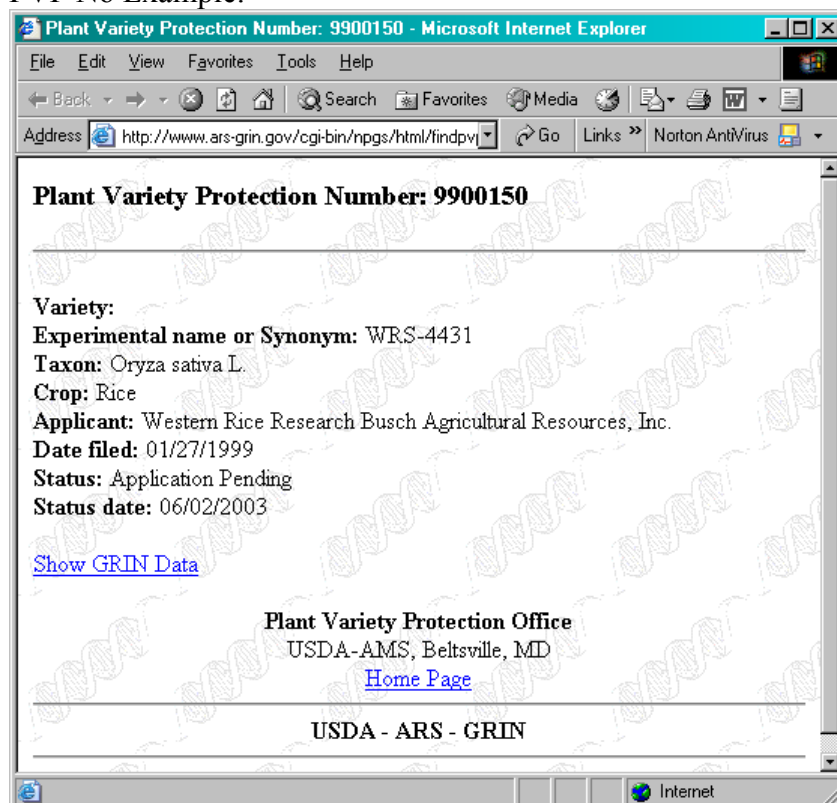
Record: 1/1

Upon saving, the application will automatically correct the Genus name to start with an uppercase letter and followed by all lowercase, and the species name to be all lowercase.

## GRIN Accession Number example:



## PVP No Example:



A Plant Material invention may result in a US or Foreign Patent Docket. In that case, the resulting Patent Docket and Patent No can be referenced in the Patent Docket No and Patent No fields. Choose the applicable Patent Docket and the corresponding Patent No will also be displayed. *This is the only place that a link between an original Plant Material Docket and a resulting Patent Docket can be identified.* The user should also indicate the final outcome for the Plant Material invention. The choices are shown in the screen below:

**Oracle Developer Forms Runtime - Web**  
Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Plant Material Dockets**

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat Disc Breeders Intl PBR Signatures

Docket No P 0018.03 FY 2003

Variety Name or Germplasm Designation TEST VARIETY FOR OTT USER'S MANUAL

Crop (Common Name) CROP NAME

Genus Name Genus

Species Name species

Should this variety be sold only as a class of certified seed? No

GRIN Accn No 293556 [Link to GRIN Database - Accession Area](#)

Plant Variety Protection Info

Is this plant material a candidate for variety protection (PVPC and/or Patent)? Yes

PVP No 9900150 [Link to GRIN Database - Plant Variety Protection Info](#)

Application Date 01/02/2003 Application Fee \$500 Paid Date 01/30/2003

Certificate Issued Date 03/01/2003 Certificate Year

Expiration Date

Patent Docket No ? Patent No

Decision Date 07/01/2003 View/Modify Decision Outcome Variety Protection - US and Inter...

Record: 1/1



## View/Modify Decision

Plant Material Dockets require a Decision Memo. The text of the decision memo will be used for the Release Notice and should follow the format example given.

The screenshot shows the Oracle Developer Forms Runtime - Web interface for the Agricultural Research Information System (ARIS) - Work. The window displays a 'Decision Memo' form. The form has a menu bar with 'File', 'Edit', 'Action', 'Record', 'Reference Tables', 'Prints', and 'Help'. Below the menu bar is a toolbar with various icons. The main area of the form is a large text box for entering the decision memo. Below the text box are three buttons: 'Save', 'Clear', and 'Close'. At the bottom of the form, there is a 'Decision Date' field with the value '07/01/2003', a 'View/Modify Decision' button, and an 'Outcome' dropdown menu. The status bar at the bottom of the window shows 'Record: 1/1'.

\*\*\*\*\*need example of decision for release notice\*\*\*\*

## Released By

The user should specify if this Plant Material is an ARS Release or a Joint Release. If it is a Joint Release, the user may lookup the associated CRADA Agreement No and enter information for the organization(s) involved in the Joint Release.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Plant Material Dockets**

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat. Disc Breeders Intl PBR Signatures

Is this an ARS Release or a Joint Release?

Is there a CRADA? ☐ CRADA Agreement Number  ? Amend No

For joint releases, click the Add Organization button to add detailed information for the co-releasing organizations.

Locations

Organization	Location
<input type="text"/>	<input type="text"/>

Add Organization View/Modify Organization Delete Organization

Address/Contact

Address

City  State  Country

Contact Name (Last, First, MI, Sur)

Title

Address

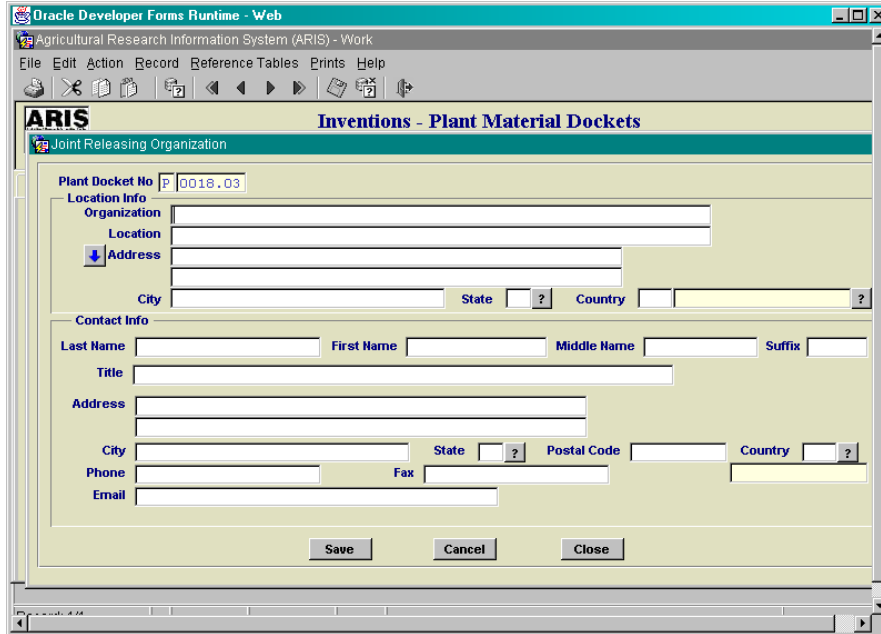
City  State  Postal Code  Country


Phone  Fax  Email

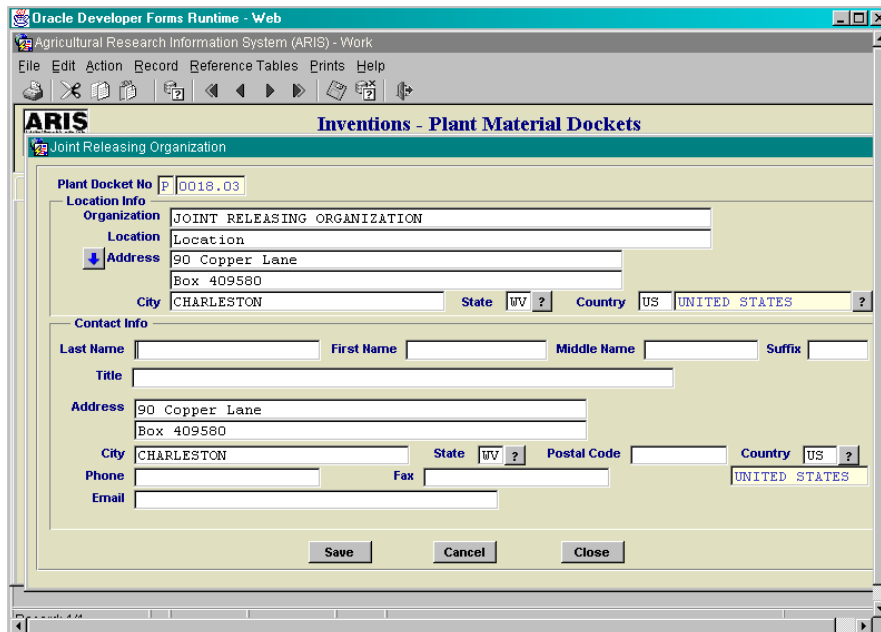
Record: 1/1

## Adding a Organization

To add organizational information, select the <Add Organization> button. The following will display:



Enter the Organizational information. The  is provided to allow the user to copy the address entered into the organizational block down into the contact info block.



After entry, select 'Save'. The pop-up will close and the Organization will be on the main screen list.

## View/Modify Organization

To make modifications to an Organization's information, select the organization on the list.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

ARIS Inventions - Plant Material Dockets

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat Disc Breeders Intl PBR Signatures

Is this an ARS Release or a Joint Release? Joint Release

Is there a CRADA? ☐ CRADA Agreement Number Amend No

For joint releases, click the Add Organization button to add detailed information for the co-releasing organizations.

Locations

Organization	Location
JOINT RELEASING ORGANIZATION	

Add Organization View/Modify Organization Delete Organization

Address/Contact

Address 90 Copper Lane Box 409580

City CHARLESTON State WV Country US UNITED STATES

Contact Name (Last, First, MI, Suf) MINER JAMES

Title

Address 90 Copper Lane Box 409580

City CHARLESTON State WV Postal Code Country US

Phone 909-984-8495 Fax Email

FRM-40400: Transaction complete: 2 records applied and saved.

Record: 1/1

Choose View/Modify Organization which will show the data as follows:

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

ARIS Inventions - Plant Material Dockets

Joint Release Organization

Plant Docket No P 0018.03

Location Info

Organization JOINT RELEASING ORGANIZATION

Location

Address 90 Copper Lane Box 409580

City CHARLESTON State WV ? Country US UNITED STATES ?

Contact Info

Last Name MINER First Name JAMES Middle Name Suffix

Title

Address 90 Copper Lane Box 409580

City CHARLESTON State WV ? Postal Code Country US ?

Phone 909-984-8495 Fax UNITED STATES

Email



Save Cancel Close

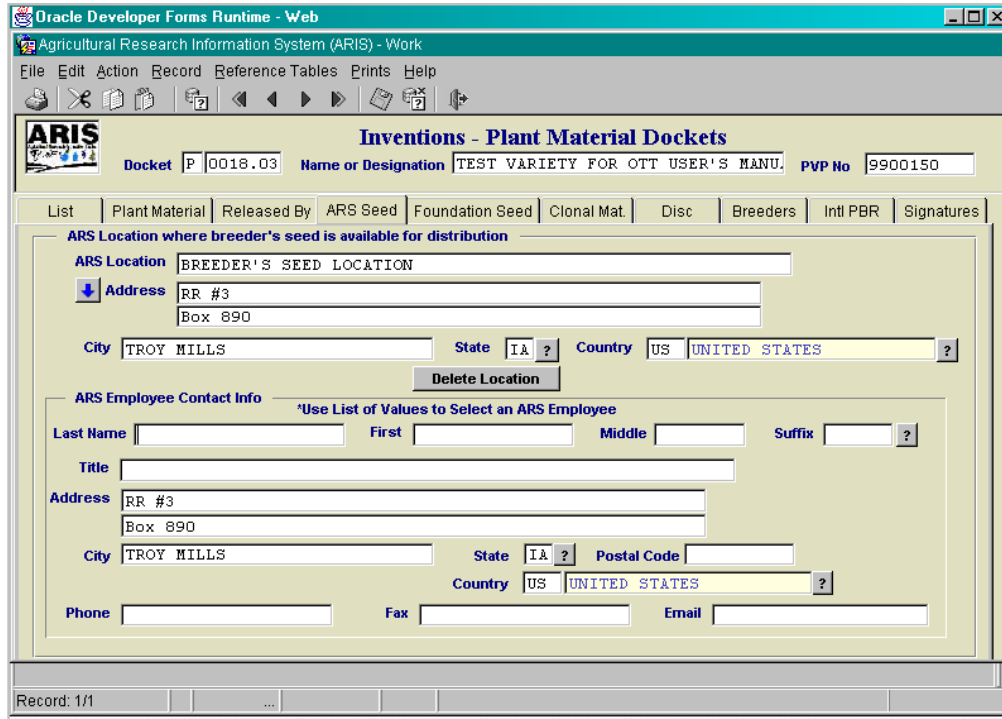
Record: 1/1


Modify the desired fields and click <Save> to apply the changes.

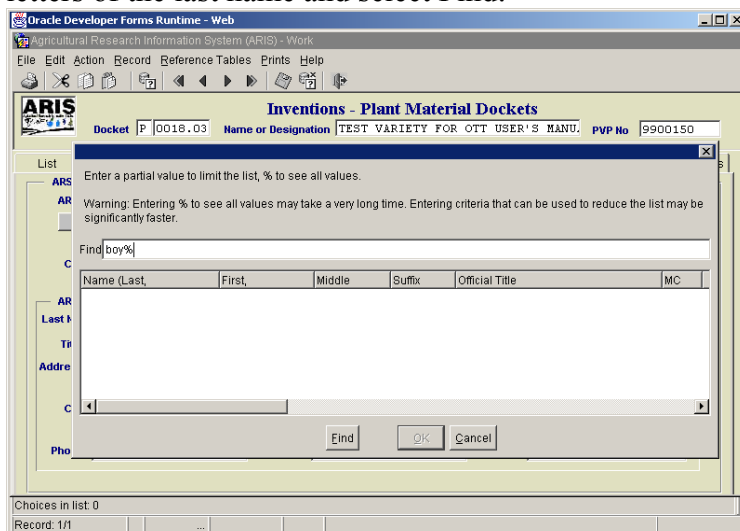
## ARS Seed (for Distribution)

This screen is used to enter the ARS Location information for where the seed is located and available for distribution. There can be only one ARS location for seed distribution.

The  can be used to copy the ARS Location address to the Contact Info block. The Contact must be an ARS person, use the  button which will provide a search feature. *Do not attempt to directly enter the ARS employees name as the application must retrieve additional information about the employee from the employee's personnel record.*



Selecting the  button for ARS Contact will display the following, enter the first few letters of the last name and select Find:



This will return all employees that match the criteria entered as shown below:

**Oracle Developer Forms Runtime - Web**  
Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Plant Material Dockets**

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List

Find BOY%

Name (Last, First, Middle, Suffix)	Official Title	MC
BOYCE KEIRA N	BIOLCL SCI AID	12
BOYCE RYAN B	BIOLCL SCI AID	62
BOYCE TRINA A	OFF AUTOMATION	12
BOYD ANNALEESE D	BIOLCL SCI AID	19
BOYD CHAD S	RANGELAND SCNTS	53
BOYD DARCI M	BIOLCL SCI AID	54
<b>BOYD ERIC S</b>	<b>BIOLCL SCI AID</b>	<b>36</b>
BOYD GLENN	SUPVY MICRBIOL	19
BOYD JANICE S	SECY OA	64
BOYD LANCE B	CUSTDL WRKR	54
BOYD MADIE L	RES PLANT PATH	64

Find OK Cancel

Choices in list: 46  
Record: 1/1

Select the employee and hit <OK> to return the information to the main screen:

**Oracle Developer Forms Runtime - Web**  
Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Plant Material Dockets**

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat. Disc Breeders Intl PBR Signatures

**ARS Location where breeder's seed is available for distribution**

ARS Location BREEDER'S SEED LOCATION

Address RR #3  
Box 890

City TROY MILLS State IA Country US UNITED STATES

Delete Location

**ARS Employee Contact Info** \*Use List of Values to Select an ARS Employee

Last Name BOYD First ERIC Middle S Suffix

Title BIOLCL SCI AID

Address AGRICULTURAL LAND MGMT RES.  
2150 PAMMEL DRIVE

City AMES State IA Postal Code 50011

Country US UNITED STATES

Phone Fax Email

Record: 1/1

The user may enter additional information for the ARS Contact including phone, fax and email. To delete this location and the contact information, select <Delete Location>.

## Foundation Seed (for Distribution)

This screen is used by breeders of seed material to enter the Foundation Seed Location where the seed is located and available for distribution. *There can be only one location for foundation seed.* It is direct entry/modify. To delete the organization and contact info, select <Delete Organization>.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Plant Material Dockets**

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat Disc Breeders Intl PBR Signatures

If applicable, organization responsible for producing foundation seed for distribution

Organization Burpee Seed Company

Address 15 Detroit Way

City DETROIT State MI ? Country US UNITED STATES ?

Delete Organization

Contact Info

Last Name NITENGALE First VANESSA Middle Suffix

Title Shipper

Address 18 Detroit Way Warehouse 19

City DETROIT State MI ? Postal Code 09203

Country US UNITED STATES ?

Phone 819-394-3948 Fax Email

FRM-40400: Transaction complete: 1 records applied and saved.

Record: 1/1

## Distribution – Clonal Material

Clonal Material is different since there may be many nursery(ies) that have the material available. *There should be one ARS location specified for the handling of clonal material with an ARS Contact specified.* The Contact must be an ARS person, use the **?** button which will provide a search feature. *Do not attempt to directly enter the ARS employees name as the application must retrieve additional information about the employee from the employee's personnel record.* To delete this location

The screenshot shows the 'Inventions - Plant Material Dockets' form in the ARIS system. The 'ARS Location where clonal propagation material is available for distribution' section includes fields for ARS Location, Address, City (BALTIMORE), State (MD), Country (US), and ARS Contact Name (Last, First, Middle, Suffix). Below this is a section for 'Nursery(ies) or other organization(s) where propagation material is available' with a table for Organization, City, State, Contact Name (Last, First), and Phone. Buttons for 'Delete Location', 'Add Organization', 'View/Modify', and 'Delete Organization' are present.

Selecting the '?' button for ARS Contact will display the following, enter the first few letters of the last name and select Find:

The screenshot shows a search dialog box for ARS contacts. It includes a 'Find' field, a 'Warning' message, and a table with columns for Name (Last, First, Middle, Suffix, Official Title) and MC. Buttons for 'Find', 'OK', 'Cancel', 'Add Organization', 'View/Modify', and 'Delete Organization' are visible.



Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

ARIS Inventions - Plant Material Dockets

Docket: P 0018.03 Name or Designation: TEST VARIETY FOR OTT USER'S MANU. PVP No: 9900150

List

Find: CON%

Name (Last, First, Middle, Suffix)	Official Title	MC
CONAWAY, DAVID, E	PHYS SCI AID	19
CONDRA, BARBARA, A	BIOLCL SCI LAB	36
CONDRA, CASEY, C	BIOLCL SCI AID	62
CONGDON, JULIE, C	BIOLCL SCI AID	66
CONINE, PATRICIA, K	SUPVY BIOLCL SC	54
CONKERTON, EDITH, J	PHYS SCI COLLAB	64
CONKLIN, ANNE, E	SOIL SCNTST	12
CONLEY, MATTHEW, M	PHYS SCI TECHN	53
CONLEY, VIO	OFF AUTOMATION	12
CONN, JEFFERY, S	RES AGRON	53
CONNELLY, GARY, M		62

Find OK Cancel

Add Organization View/Modify Delete Organization

Choices in list: 41

Record: 1/1

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

ARS

### Inventions - Plant Material Dockets

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat. Disc Breeders Intl PBR Signatures

**ARS Location where clonal propagation material is available for distribution**

ARS Location Single ARS Location for Clonal Material

Address ARS Address

City BALTIMORE State MD ? Country US UNITED STATES ?

ARS Contact Name: Last CONLEY First MATTHEW Middle M Suffix ?

Title PHYS SCI TECHNC

Address ENVIRON AND PLANT DYNAMICS USDA-ARS, 4331 E. BROADWAY RD.

City PHOENIX State AZ ? Postal Code 85040 Country US ?

Phone Fax Email

Delete Location

**Nursery(ies) or other organization(s) where propagation material is available**

Organization	City	State	Contact Name (Last,First)	Phone

Add Organization View/Modify Delete Organization

Record: 1/1

## Adding/Modifying Nursery(s)

There may be multiple Nursery locations that have clonal material available. These are entered in the bottom block of the Distribution – Clonal Material Screen.

The screenshot shows the 'ARS Location where clonal propagation material is available for distribution' section of the 'Inventions - Plant Material Dockets' screen. The 'ARS Location' is set to 'Single ARS Location for Clonal Material'. The 'Address' field is populated with 'ARS Address'. The 'City' is 'BALTIMORE', 'State' is 'MD', and 'Country' is 'US'. The 'ARS Contact Name' is 'CONLEY', 'First' is 'MATTHEW', 'Middle' is 'M', and 'Suffix' is empty. The 'Title' is 'PHYS SCI TECHN'. The 'Address' is 'ENVIRON AND PLANT DYNAMICS', 'USDA-ARS, 4331 E. BROADWAY RD.'. The 'City' is 'PHOENIX', 'State' is 'AZ', 'Postal Code' is '85040', and 'Country' is 'US'. The 'Phone' and 'Fax' fields are empty. The 'Email' field is empty. There is a 'Delete Location' button. Below this is a table for 'Nursery(ies) or other organization(s) where propagation material is available' with columns for 'Organization', 'City', 'State', 'Contact Name (Last,First)', and 'Phone'. The table is currently empty. There are 'Add Organization', 'View/Modify', and 'Delete Organization' buttons at the bottom of the table.

To add a new nursery, select <Add Organization> which will display the following:

The screenshot shows the 'NURSERY INFO' section of the 'Inventions - Plant Material Dockets' screen. The 'Plant Docket No' is 'P 0018.03'. The 'Location Info' section has fields for 'Organization', 'Location', 'Address', 'City', 'State', and 'Country'. The 'Contact Info' section has fields for 'Last Name', 'First Name', 'Middle Name', 'Suffix', 'Title', 'Address', 'City', 'State', 'Postal Code', 'Country', 'Phone', 'Fax', and 'Email'. There are 'Save', 'Cancel', and 'Close' buttons at the bottom.

Enter the information for the nursery and a primary contact (the address from the location block may be copied down to the contact info block using the <down arrow icon> :

**Oracle Developer Forms Runtime - Web**  
Agricultural Research Information System (ARIS) - Work

**ARIS Inventions - Plant Material Dockets**

**NURSERY INFO**

Plant Docket No P 0018.03

**Location Info**

Organization NURSERY #1

Location California

Address 89 Hollywood Blvd

City HOLLYWOOD State CA Country US UNITED STATES

**Contact Info**

Last Name JEANS First Name JOHN Middle Name Suffix

Title Head Director

Address 89 Hollywood Blvd

City HOLLYWOOD State CA Country US UNITED STATES

Phone Fax

Email jjeans@levi.com

Save Cancel Close

Select <Save> to save changes and return to the main screen.

**Oracle Developer Forms Runtime - Web**  
Agricultural Research Information System (ARIS) - Work

**ARIS Inventions - Plant Material Dockets**

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat. Disc Breeders Intl PBR Signatures

**ARS Location where clonal propagation material is available for distribution**

ARS Location Single ARS Location for Clonal Material

Address ARS Address

City BALTIMORE State MD Country US UNITED STATES

ARS Contact Name: Last CONLEY First MATTHEW Middle M Suffix

Title PHYS SCI TECHNC

Address ENVIRON AND PLANT DYNAMICS USDA-ARS, 4331 E. BROADWAY RD.

City PHOENIX State AZ Postal Code 85040 Country US

Phone Fax Email

Delete Location

**Nursery(ies) or other organization(s) where propagation material is available**

Organization	City	State	Contact Name (Last,First)	Phone
NURSERY #1	HOLLYWOOD	CA	JEANS JOHN	

Add Organization View/Modify Delete Organization

FRM-40400: Transaction complete: 2 records applied and saved.  
Record: 1/1

To modify information for a nursery, select it on the list and hit <View/Modify>.  
To delete a nursery, select it on the list and hit <Delete Organization>.

## Disclosure/Detailed Description

It is required that the user answer four to six questions to disclose the invention. The responses to these questions provide a complete description of the invention. Upon clicking the Disclosure tab, the user will see a tab for each question. The user should questions 1 thru 4. *If the plant material is a candidate for Plant Variety Protection, the user must answer questions 5 and 6.*

### Question 1

The screenshot shows the Oracle Developer Forms Runtime - Web interface for the Agricultural Research Information System (ARIS) - Work. The title bar indicates 'Inventions - Plant Material Dockets'. The form includes fields for 'Docket' (P 0018.03), 'Name or Designation' (TEST VARIETY FOR OTT USER'S MANU.), and 'PVP No' (9900150). Below these fields are tabs for 'List', 'Plant Material', 'Released By', 'ARS Seed', 'Foundation Seed', 'Clonal Mat', 'Disc', 'Breeder', 'Intl PBR', and 'Signatures'. The 'Disclosure Descriptions' section is active, showing a list of questions (Desc (Q1) through Desc (Q6)). The 'Question' tab is selected, displaying the text: 'Was this plant material developed in cooperation with a university experiment station or other organization? What resources were contributed by the cooperator. e.g. technicians, breeders, land, facilities, services, test date, etc. List all cooperator employees who were directly involved in the breeding and selection of this material'. Below the question is a large text area for the response, with 'OK', 'Cancel', and 'Search' buttons. A 'Clear Response' button is located at the bottom right of the form. The status bar at the bottom indicates 'Record: 1/1'.

### Question 2

The screenshot shows the same Oracle Developer Forms Runtime - Web interface for the Agricultural Research Information System (ARIS) - Work. The title bar indicates 'Inventions - Plant Material Dockets'. The form includes fields for 'Docket' (P 0018.03), 'Name or Designation' (TEST VARIETY FOR OTT USER'S MANU.), and 'PVP No' (9900150). Below these fields are tabs for 'List', 'Plant Material', 'Released By', 'ARS Seed', 'Foundation Seed', 'Clonal Mat', 'Disc', 'Breeder', 'Intl PBR', and 'Signatures'. The 'Disclosure Descriptions' section is active, showing a list of questions (Desc (Q1) through Desc (Q6)). The 'Question' tab is selected, displaying the text: 'Provide a full description of the plant material to be released. Please include the complete text of the proposed release notice. Detailed instructions available.'. Below the question is a large text area for the response, with 'OK', 'Cancel', and 'Search' buttons. A 'Clear Response' button is located at the bottom right of the form. The status bar at the bottom indicates 'Record: 1/1'.

### Question 3

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Plant Material Dockets**

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat. Disc Breeders Intl PBR Signatures

**Disclosure Descriptions**

Desc (Q1) Desc (Q2) Desc (Q3) Desc (Q4) Desc (Q5) Desc (Q6)

**Question**

Discuss who is expected to use the released plant material and how they will use it? What public or private organizations have requested this material for research, breeding or testing purposes? Have you consulted with any commodity groups?

**Response**

Clear Response

Record: 1/1

### Question 4

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Plant Material Dockets**

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat. Disc Breeders Intl PBR Signatures

**Disclosure Descriptions**

Desc (Q1) Desc (Q2) Desc (Q3) Desc (Q4) Desc (Q5) Desc (Q6)

**Question**

List any publications and/or public use of this plant material. Has the material been provided to anyone outside of USDA for field testing purposes? Have seeds, cuttings, fruit or other materials been sold by cooperators?

**Response**

Clear Response

Record: 1/1

### Question 5

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Plant Material Dockets**

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat. Disc Breeders Intl PBR Signatures

**Disclosure Descriptions**

Desc (Q1) Desc (Q2) Desc (Q3) Desc (Q4) Desc (Q5) Desc(Q6)

**If this Plant Material is a potential candidate for Variety Protection, you must answer:**

**Question**

List any publications and/or public use of this plant material. Has the material been provided to anyone outside of USDA for field testing purposes? Have seeds, cuttings, fruit or other materials been sold by cooperators?

**Response**

Clear Response

Record: 1/1

### Question 6

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Plant Material Dockets**

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat. Disc Breeders Intl PBR Signatures

**Disclosure Descriptions**

Desc (Q1) Desc (Q2) Desc (Q3) Desc (Q4) Desc (Q5) Desc(Q6)

**If this Plant Material is a potential candidate for Variety Protection, you must answer:**

**Question**

If plant variety protection has been requested, is there an international market for this variety. If so, in what countries? Have you sent the variety to anyone outside the U.S. for testing or breeding?

**Response**

Clear Response

Record: 1/1


## Breeders Screen

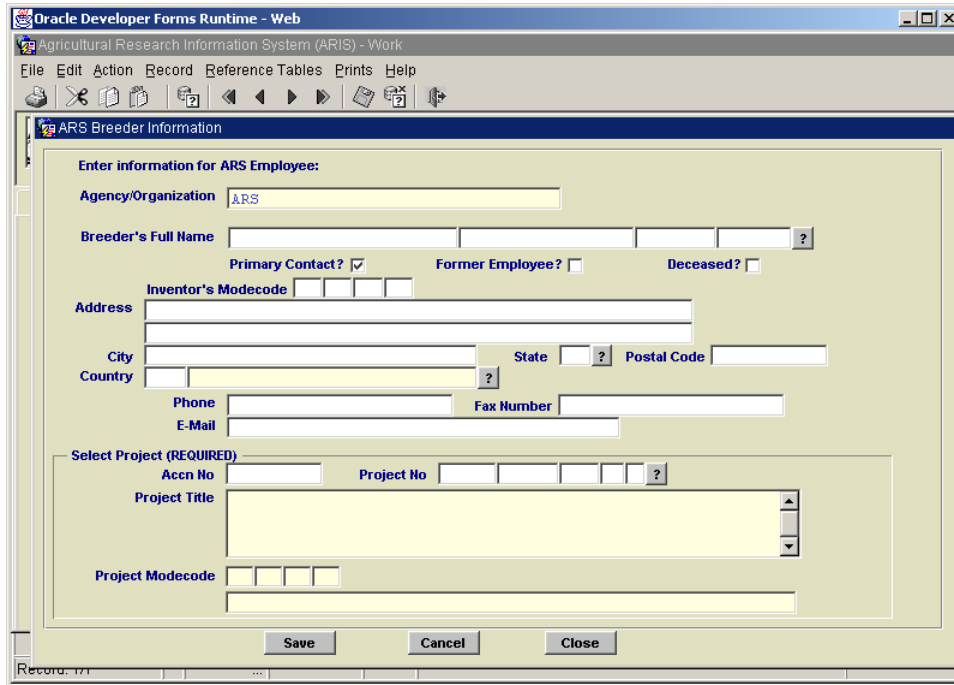
Breeders of Plant Materials are the same as ‘inventors’ of patentable inventions. The information captured for ARS breeders and Non-ARS breeders is the same as the information for inventors. The user entering the plant material will be required to select at least one breeder who is designated as the Primary Contact before he will be allowed to approve the invention. The breeder designated as the Primary Contact will be considered the Lead Breeder. The Modecode for the project of the lead breeder will be used for controlling access to the plant material record. This is important since many users have modecode restrictions and although the user is allowed to pick any ARS person as the lead breeder, if the user does not have access to his modecode assignment, the plant material record will ‘disappear’ from their work queue.

The screenshot shows the 'Oracle Developer Forms Runtime - Web' window for the 'Agricultural Research Information System (ARIS) - Work'. The title bar indicates 'Inventions - Plant Material Dockets'. The main form has a menu bar (File, Edit, Action, Record, Reference Tables, Prints, Help) and a toolbar. The 'Docket' field is set to 'P 0018.03', 'Name or Designation' is 'TEST VARIETY FOR OTT USER'S MANU.', and 'PVP No' is '9900150'. Below this is a tabbed interface with 'List', 'Plant Material', 'Released By', 'ARS Seed', 'Foundation Seed', 'Clonal Mat.', 'Disc', 'Breeders', 'Intl PBR', and 'Signatures'. The 'Breeders' tab is active, showing a 'Breeder List' table with columns: Name (Last, First, MI, Suffix), Primary Contact, Former Emp, and Deceased. Below the list are buttons: 'Add ARS Breeder', 'Add Non ARS Breeder', 'View/Modify Breeder', and 'Delete Breeder'. The 'Breeder Details' section contains fields for Name, Address, City, State, Postal Code, Phone, E-Mail, Accn No, Project No, Project Title, Modecode/Location, Agency/Organization, and Non ARS Location Desc. The bottom status bar shows 'Record: 1/1'.

The Breeders tab screen presents the list of breeders and details for the breeder selected on the list. The following sections will show how to Add an ARS or Non-ARS Breeder.

## Adding an ARS Breeder

To enter an ARS Breeder, click the Add ARS Breeder button on the Breeders tab page. This will display screen below. The Agency will default to ARS and will not be modifiable. The user will query and select from a list of ARS employees by clicking the  button. Do not attempt to directly enter the ARS employees name as the application must retrieve additional information about the employee from the employee's personnel record.



Oracle Developer Forms Runtime - Web


Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

ARS Breeder Information

Enter information for ARS Employee:


Agency/Organization


Breeder's Full Name  

Primary Contact? ☒ Former Employee? ☐ Deceased? ☐

Inventor's Modecode

Address


City  State   Postal Code

Country  

Phone  Fax Number

E-Mail

Select Project (REQUIRED)

Accn No  Project No  


Project Title

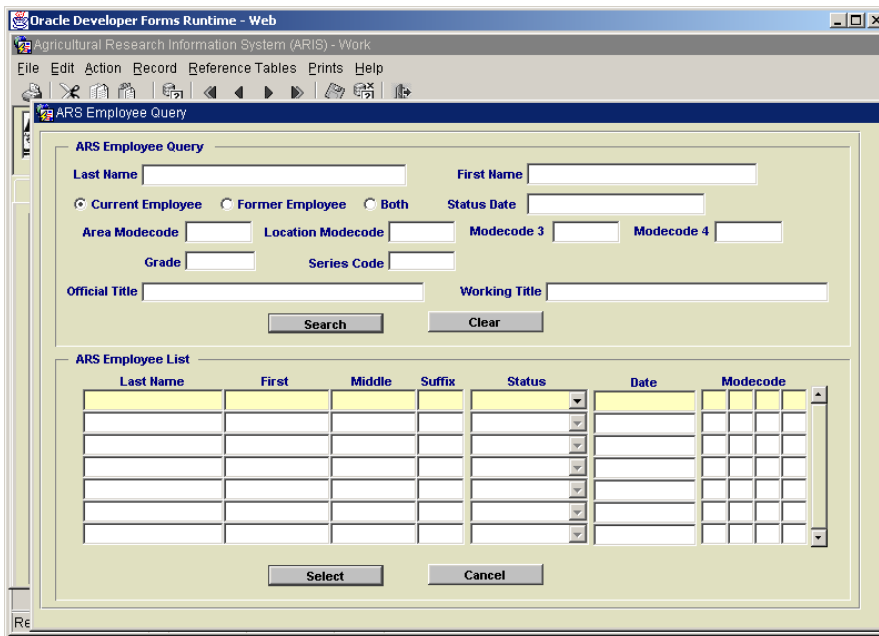
Project Modecode

Save Cancel Close

Record: 1/1

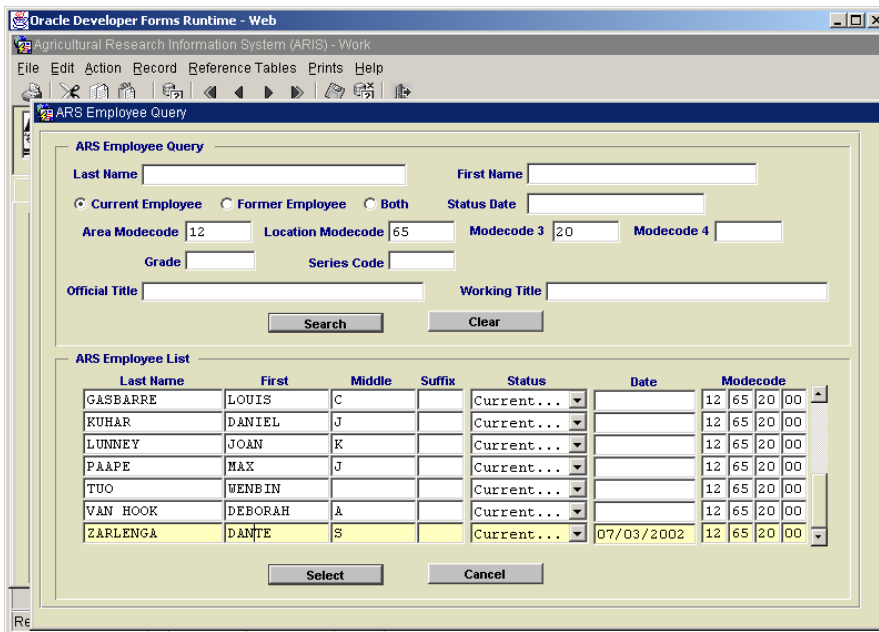


Selecting the  beside the Inventor name field will display the following screen:




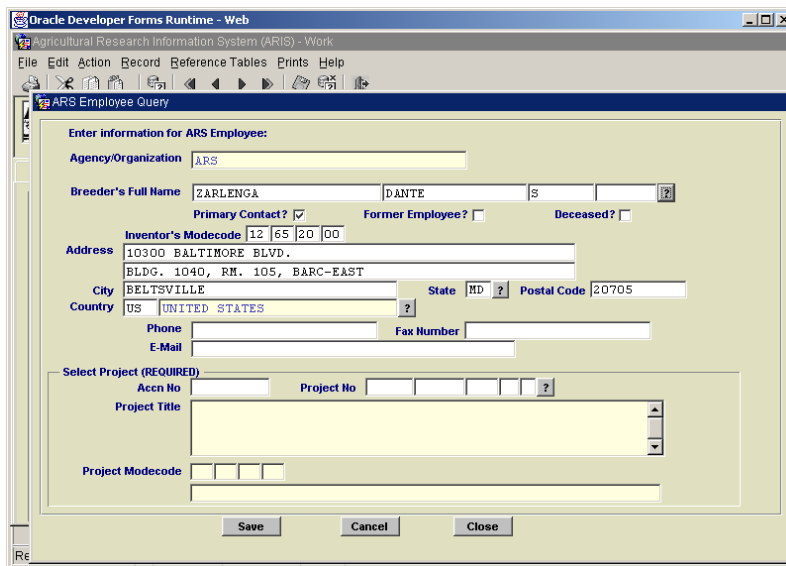
This is an interactive screen where the user may enter query criteria, hit <Search> and review the list of employees returned, clear or modify the criteria, hit <Search> again and retrieve a new list. There are options for searching only current employees, only former employees (retired or left the agency) or both. Select the corresponding radio button for Current Employee, Former Employee, or Both. The default is to only search current employees.

In this example, the user is retrieving all employees in Modecode 12-65-20. The user will then scroll the list, or modify the criteria and research. Once the correct employee has been found, the user will choose the <Select> button.

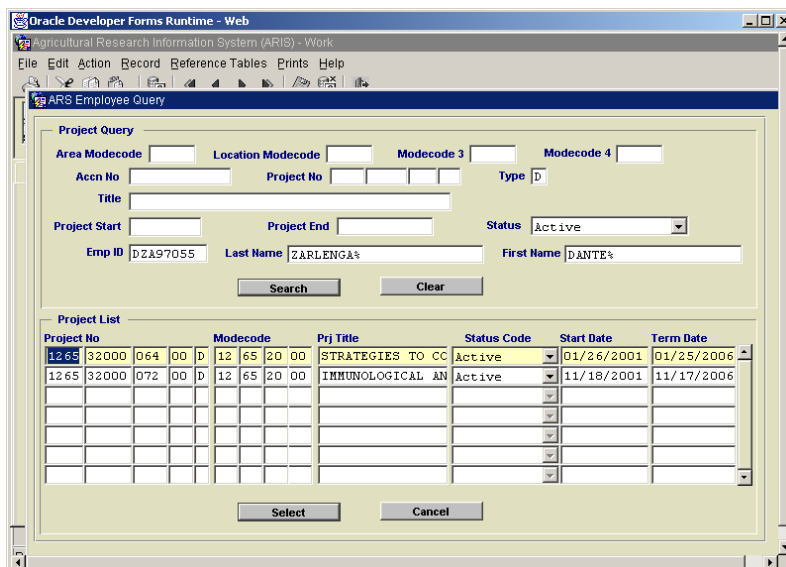


Last Name	First	Middle	Suffix	Status	Date	Modecode
GASBARRE	LOUIS	C		Current...		12 65 20 00
KUHAR	DANIEL	J		Current...		12 65 20 00
LUNNEY	JOAN	K		Current...		12 65 20 00
PAAPE	MAX	J		Current...		12 65 20 00
TUO	WENBIN			Current...		12 65 20 00
VAN HOOK	DEBORAH	A		Current...		12 65 20 00
ZARLENGA	DANTE	S		Current...	07/03/2002	12 65 20 00

This will return the selected employee to the previous Add ARS Breeder screen. Since this is the first breeder, the application has set the default for this person to the Primary Contact. The user may change this setting. The user may now enter additional information about the employee including phone, fax and email. The user may also check if this is a former employee or if the employee is known to be deceased. The next step is to choose the project the employee is assigned under while working on this plant material. Click the  next to Project No.



This will automatically look for projects the employee is assigned to as an investigator. The results will be displayed in a list as shown below. *If the desired project is not shown, the user may clear the query criteria and requery on new criteria. The user must clear out the previous query criteria before searching on another field such as Accn No.* If the desired project is not shown, the user may clear the query criteria and requery on new criteria. Once the correct project has been found, highlight it, and push the <Select> button.



Project No	Modecode	Prj Title	Status Code	Start Date	Term Date
1265 32000 064 00 D	12 65 20 00	STRATEGIES TO CC	Active	01/26/2001	01/25/2006
1265 32000 072 00 D	12 65 20 00	IMMUNOLOGICAL AN	Active	11/18/2001	11/17/2006

This will return the project information to the previous screen:

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

ARS Employee Query

Enter information for ARS Employee:

Agency/Organization ARS

Breeder's Full Name ZARLENGA DANTE S ?

Primary Contact? ☒ Former Employee? ☐ Deceased? ☐

Inventor's Modecode 12 65 20 00

Address 10300 BALTIMORE BLVD.  
BLDG. 1040, RM. 105, BARC-EAST

City BELTSVILLE State MD ? Postal Code 20705

Country US UNITED STATES ?

Phone Fax Number

E-Mail

Select Project (REQUIRED)

Acct No 0405188 Project No 1265 32000 072 00 D ?

Project Title IMMUNOLOGICAL AND GENETIC BASIS OF RESISTANCE TO PARASITES OF CATTLE

Project Modecode 12 65 20 00

ANIMAL AND NATURAL RESOURCES INSTITUTE

Save Cancel Close

All required information has been entered and the user may save the record by selecting the <Save> button.

The main tab will be redisplayed with the new breeder.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

ARIS Inventions - Plant Material Dockets

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat. Disc Breeders Intl PBR Signatures

Breeder List

Name (Last, First, MI, Suffix)	Primary Contact	Former Emp	Deceased
ZARLENGA DANTE S	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Add ARS Breeder Add Non ARS Breeder View/Modify Breeder Delete Breeder

Breeder Details

Name ZARLENGA DANTE S Modecode 12 65 20 00

Address 10300 BALTIMORE BLVD. BLDG. 1040, RM. 105, BARC-EAST

City, State, Postal Code BELTSVILLE MD 20705 Country US

Phone Fax Number

E-Mail

Acct No 0405188 Project No 1265 32000 072 00 D

Project Title IMMUNOLOGICAL AND GENETIC BASIS OF RESISTANCE TO PARASITES OF CATTLE

Modecode/Location 12 65 20 00 ANIMAL AND NATURAL RESOURCES INSTITUTE

Agency/Organization ARS

Non ARS Location Desc

FRM-40400: Transaction complete: 1 records applied and saved.

Record: 1/1

## Adding a Non-ARS Breeder

To add a Non-ARS Breeder, select the 'Add Non-ARS Breeder' button from the main Breeder tab screen and the following will display:

The screenshot shows a web browser window titled "Oracle Developer Forms Runtime - Web" displaying the "Agricultural Research Information System (ARIS) - Work" application. The main menu bar includes "File", "Edit", "Action", "Record", "Reference Tables", "Prints", and "Help". The application title bar reads "ARIS Inventions - Plant Material Dockets". The form is titled "Non-ARS Breeder Information" and contains the following fields and controls:

- Agency/Organization**: Text input field.
- Non ARS Location Desc**: Text input field.
- Breeder's Last Name**: Text input field.
- First Name**: Text input field.
- Middle Name**: Text input field.
- Suffix Name**: Text input field.
- Address**: Text input field.
- City**: Text input field.
- State**: Dropdown menu with a question mark icon.
- Postal Code**: Text input field.
- Country**: Text input field with a question mark icon.
- Phone**: Text input field.
- Fax Number**: Text input field.
- Email**: Text input field.
- Buttons**: "Save", "Cancel", and "Close" buttons at the bottom.

The status bar at the bottom indicates "Record: 1/1".

All information for a Non-ARS breeder must be entered manually. The Agency/Organization name will accommodate 100 characters. *For consistency of use and to aid in querying, the business rule is to enter the full name of the Agency or Organization (e.g. University of Illinois at Urbana-Champaign).* There are List of Values available for State and Country codes.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Reference Tables Prints Help

**ARIS** Inventions - Plant Material Dockets  
Non-ARS Breeder Information

Enter information for Non-ARS Employee (enter Lead Breeder first):

Agency/Organization: IOWA STATE UNIVERSITY  
Non ARS Location Desc: AMES, IA

Breeder's Last Name: CORTEZ  
First Name: JOHN  
Middle Name:   
Suffix Name:   
Address: 458 Woodlawn  
City: AMES State: IA ? Postal Code:   
Country: US ? UNITED STATES  
Phone: 319-849-1329 Fax Number:   
Email:   
Save Cancel Close

Record: 1/1

Once the data for the Non-ARS breeder has been entered, select the Save button. The application will be returned to the list and will display all breeders.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Reference Tables Prints Help

**ARIS** Inventions - Plant Material Dockets  
Docket: P 0018.03 Name or Designation: TEST VARIETY FOR OTT USER'S MANU. PVP No: 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat. Disc Breeders Intl PBR Signatures

**Breeder List**

Name (Last, First, MI, Suffix)	Primary Contact	Former Emp	Deceased
ZARLENGA DANTE S	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CORTEZ JOHN	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Add ARS Breeder Add Non ARS Breeder View/Modify Breeder Delete Breeder

**Breeder Details**

Name: CORTEZ JOHN Modecode:   
Address: 458 Woodlawn  
City, State, Postal Code: AMES IA Country: US  
Phone: 319-849-1329 Fax Number:   
E-Mail:   
Accn No: Project No:   
Project Title:   
Modecode/Location:   
Agency/Organization: IOWA STATE UNIVERSITY  
Non ARS Location Desc: AMES, IA

Record: 2/2

## International PBR (Plant Breeder's Rights) Screen

The user will be allowed to enter Country information for each country where the Plant Material has been filed. The user will enter the Country, Application No, Date Filed, Certificate No, Certificate Date, and Comments.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Plant Material Dockets**

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat Disc Breeders Intl PBR Signatures

Country Filed	Application No	Date Filed	Certificate No	Certificate Date	Comments
?					
?					
?					
?					
?					
?					
?					
?					
?					
?					

Add PBR Record Delete PBR Record

Record: 1/1

## Adding a Plant Breeder's Rights Record

Select the <Add PBR Record> button. This will turn the list on in add mode indicated by the change in color of the highlighted row.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Plant Material Dockets**


Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

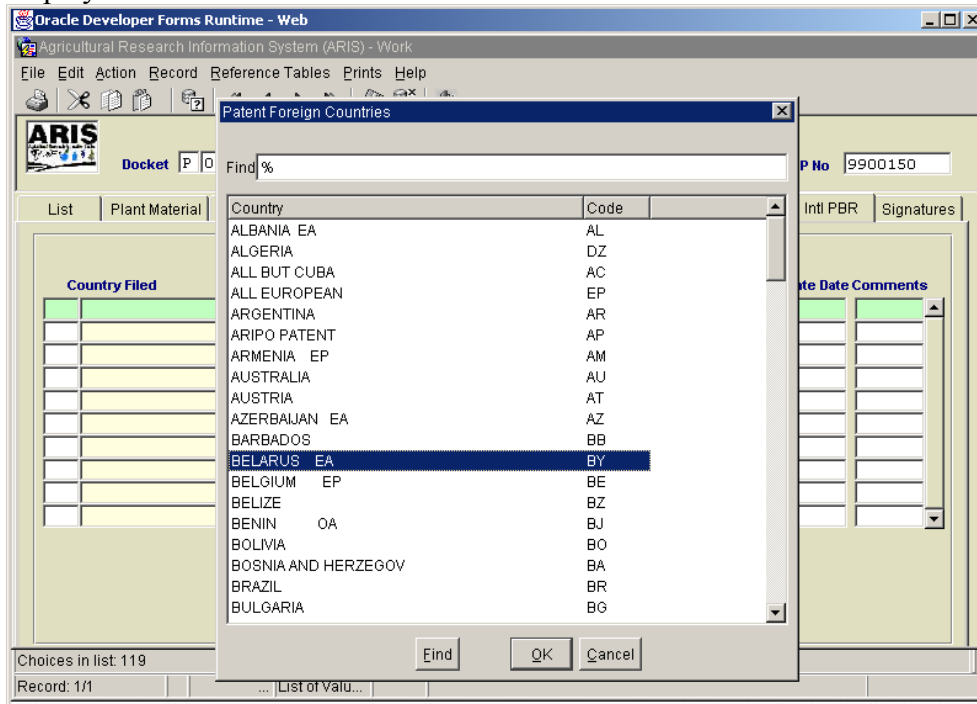
List Plant Material Released By ARS Seed Foundation Seed Clonal Mat Disc Breeders Intl PBR Signatures

Country Filed	Application No	Date Filed	Certificate No	Certificate Date	Comments
?					
?					
?					
?					
?					
?					
?					
?					
?					
?					

Add PBR Record Delete PBR Record

Record: 1/1 ... List of Valu...

The user may manually type in a country code or use the List of Values available by selecting the  button next to the Country Name. Selecting the List of Values will display a list as shown:



**Patent Foreign Countries**

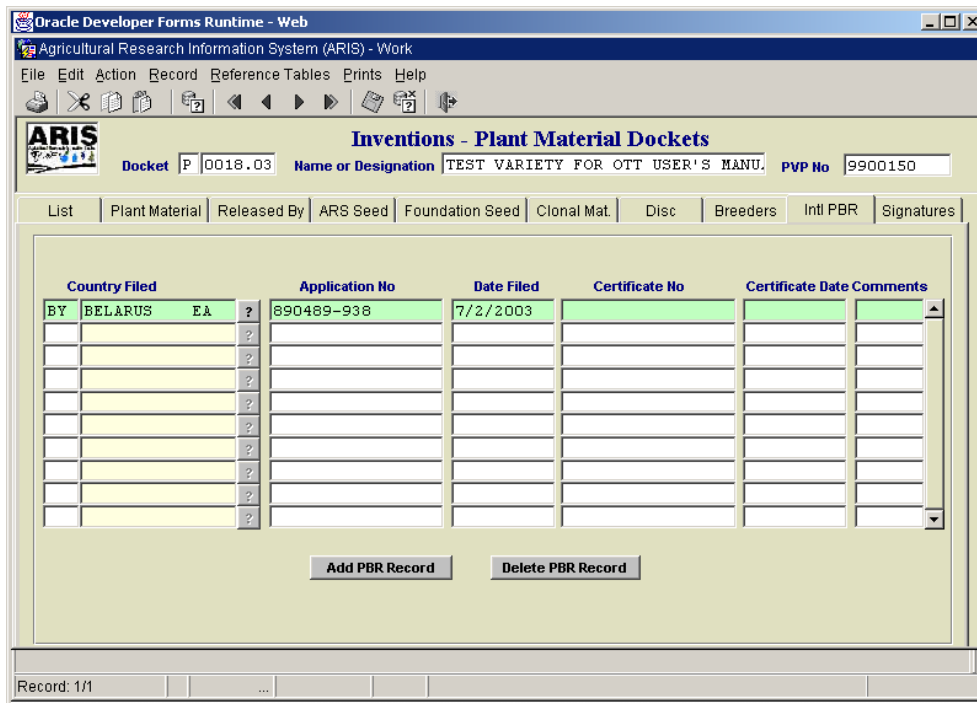
Find %

Country	Code
ALBANIA EA	AL
ALGERIA	DZ
ALL BUT CUBA	AC
ALL EUROPEAN	EP
ARGENTINA	AR
ARIPO PATENT	AP
ARMENIA EP	AM
AUSTRALIA	AU
AUSTRIA	AT
AZERBAIJAN EA	AZ
BARBADOS	BB
<b>BELARUS EA</b>	<b>BY</b>
BELGIUM EP	BE
BELIZE	BZ
BENIN OA	BJ
BOLIVIA	BO
BOSNIA AND HERZEGOV	BA
BRAZIL	BR
BULGARIA	BG

Buttons: Find, OK, Cancel

Background Form: **Inventions - Plant Material Dockets**  
 Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150  
 List Plant Material Released By ARS Seed Foundation Seed Clonal Mat. Disc Breeders Intl PBR Signatures

Select the Country or Country Group Code (such as All European) and hit <OK>. Enter other known information:



**Inventions - Plant Material Dockets**

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat. Disc Breeders Intl PBR Signatures

Country Filed	Application No	Date Filed	Certificate No	Certificate Date Comments
BY BELARUS EA ?	890489-938	7/2/2003		
?				
?				
?				
?				
?				
?				
?				
?				

Buttons: Add PBR Record, Delete PBR Record

Record: 1/1

The user may continue to enter other records by scrolling down the list. Select <Save> on the main toolbar when finished. The highlighting will return to normal and indicate that the list is no longer in 'insert' mode.

**Oracle Developer Forms Runtime - Web**

**Agricultural Research Information System (ARIS) - Work**

File Edit Action Record Reference Tables Prints Help

**ARIS** **Inventions - Plant Material Dockets**

Docket P 0018.03 Name or Designation TEST VARIETY FOR OTT USER'S MANU. PVP No 9900150

List Plant Material Released By ARS Seed Foundation Seed Clonal Mat Disc Breeders Intl PBR Signatures

Country Filed	Application No	Date Filed	Certificate No	Certificate Date	Comments
AT AUSTRIA ?	AU-890	07/03/2003			
BY BELARUS EA ?	890489-938	07/02/2003			

Add PBR Record Delete PBR Record

FRM-40400: Transaction complete: 2 records applied and saved.

Record: 1/2 ... List of Valu...

To delete a PBR record, select it on the list and then select <Delete PBR Record>.



## Signature Screen

The Signature Screen for Plant Materials follows a similar approval process as patentable inventions follow. To approve the invention work record, the user will sign in the correct signature block for their level. There are designated rules for the work flow of a work record. Usually, a Research Leader will approve the initial invention disclosure (work record) and it will be 'sent' to either the CD/LD/DAD for his area/location or directly to the Area Director depending on the user's security level. Alternatively, if necessary, a new record can be created at HQs. This will shorten the approval process. Once the user has approved the record, they will no longer see it in their work queue for modification. To view its current status, the user will need to access the Status screen off the main menu. The following example will show the Research Leader approving the new invention and then the display of its level in the Status screen.

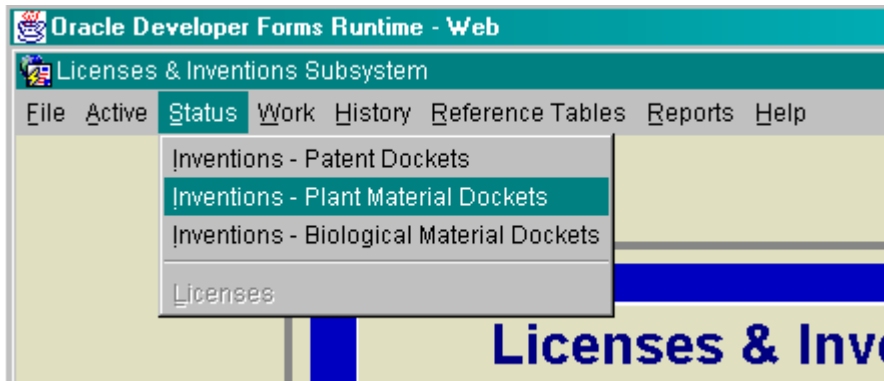
After the Research Leaders approval, depending on his security level, the docket will require a CD/LD/DAD approval or go directly to the Area Director. The NPS Plant Materials Coordinator will be the next approval, then the Deputy Assistant Administrator of OTT and finally the Associate Deputy Administrator. Once a work record has completed its approval process, the record will become part of the active file.

Title	Sig Code	Name	Date	Approve	Disapprove			
Field		Last	First	MI	Suffix			
Research Leader		CONNORS	JOHN			07/28/2003	<input checked="" type="checkbox"/>	<input type="checkbox"/>
CD/LD/DAD							<input type="checkbox"/>	<input type="checkbox"/>
Area Director							<input type="checkbox"/>	<input type="checkbox"/>
Headquarters								
NPS Plant Materials Coord							<input type="checkbox"/>	<input type="checkbox"/>
Deputy Asst Admin, OTT							<input type="checkbox"/>	<input type="checkbox"/>
Associate Deputy Admin							<input type="checkbox"/>	<input type="checkbox"/>

The Research Leader enters their name, approval date (will default to the current date) and checks Approve. Note, personnel who have signature codes will either manually enter their signature code or use the appropriate  button to look up their code. They will not directly enter their name. Once the user has signed the record, choose the <Approve/Disapprove> button. There are numerous validation checks at this point to ensure you have entered all required data before it can be sent to the next level. If the user receives a message that they need to correct or enter additional information, they

will need to cancel their signature on this tab, complete the data entry/modification, and then resign the record.

To view the record now, return to the main menu, select Status -> Inventions – Plant Material Dockets.



The Plant Material Docket will display on this list and show that it is now at the CD/LD/DAD Level awaiting their review and signature. When the signature process is completed, the record will move to the Active File within a few minutes and be viewable by all personnel.

Docket No	Name or Designation	Crop Name	PVP No	Submission Level
<input type="checkbox"/> P 0007.03	X	x	1	RL Level
<input type="checkbox"/> P 0008.03	TESTING DECISION	tulip		RL Level
<input type="checkbox"/> P 0009.03	VARIETY			RL Level
<input type="checkbox"/> P 0010.03	ADDING FOR TEST OF DECISION			RL Level
<input type="checkbox"/> P 0011.03	TYPEING			RL Level
<input type="checkbox"/> P 0012.03	X	x	9	RL Level
<input type="checkbox"/> P 0013.03	VARIETY NAME OR GERMPLASMA I	Crop	123	OTT Level
<input type="checkbox"/> P 0014.03	VARIETY NAME OR GERMPLASM DE	Crop	1	RL Level
<input type="checkbox"/> P 0015.03	VARIETY NAME OR GERMPLASM DE	Crop	1	RL Level
<input type="checkbox"/> P 0017.03	PLANT VARIETY NUMBER 1	corn	84958	OTT Support Level
<input type="checkbox"/> P 0018.03	TEST VARIETY FOR OTT USER'S	CROP NAME	9900150	CD/LD/DAD Level
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				

Record: 1/11

## ***Biological Materials***

Screens have been added to support capturing information on Biological Material Dockets. They follow the same layout and process as US Patent Dockets. There is a Work form where new Biological Material Dockets are added and existing ones are modified, there is a Status form that shows all the Biological Material Dockets currently in work and their level, and there is an Active form which shows all approved Biological Material Dockets.

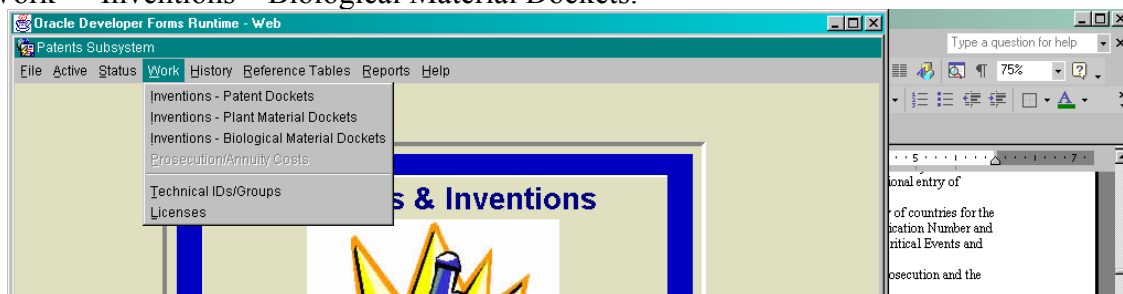
Biological Materials have some of the same information as regular Patent Dockets such as the requirement to answer Disclosure questions and identify the inventors of the material. They also have unique information for the type of biological material, distribution information for ARS and non-ARS locations, publication and CRADA information. Their signature process is abbreviated and includes Research Leaders, Technology Transfer Coordinator, and Technology License Program Coordinator.

## **Biological Material Dockets – Work Records**

The user may create a new work record for a new Biological Material Docket using the Work Inventions – Biological Material Dockets screen. If there is an existing Biological Material Docket that needs modification, the user must first go to the Active -> Inventions – Biological Material Dockets screen, select the Biological Material Docket that requires modification, and then select Action -> Create Work Record.


## **Menu Selection**

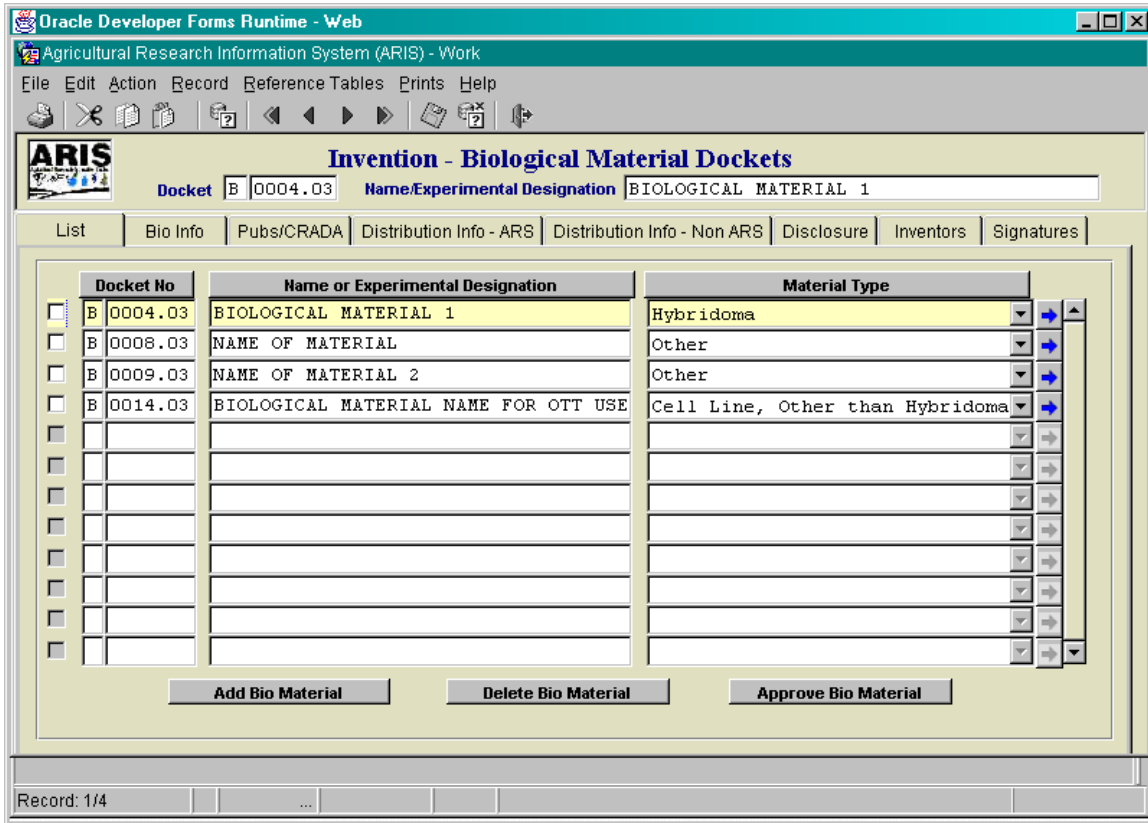
To access Work Records for Biological Material Dockets, select the Menu option Work -> Inventions – Biological Material Dockets.



## List Screen

The form will automatically query the work records that are applicable for your user level and modecode. The list screen will show the Docket Prefix (always a 'B' for Biological Materials), Docket Number, Fiscal Year, Biological Material Name and the Material Type. To view and modify a Biological Material Docket, select it on the list and then select the desired tab screen.

The  icon at the end of each record will let the user query and view licenses related to the selected Biological Material Docket.



Docket No	Name or Experimental Designation	Material Type
B 0004.03	BIOLOGICAL MATERIAL 1	Hybridoma
B 0008.03	NAME OF MATERIAL	Other
B 0009.03	NAME OF MATERIAL 2	Other
B 0014.03	BIOLOGICAL MATERIAL NAME FOR OTT USE	Cell Line, Other than Hybridoma

Record: 1/4

## Adding a Biological Material Docket

To add a new Biological Material Docket, select <Add Biological Material>.

When adding a Biological Material invention, certain fields are defaulted based on your user role and profile. For Field Level personnel, which includes Research Leaders, CD/LD/DADs, and Area Directors, the Docket No and FY will default for the current FY and the Type of Biological Material will be defaulted to Hybridoma (which requires entry in the three subfields: Immunogen used, Antibody Class Produced, and Antigenic Specificity). The example below shows the screen for an invention being added by a Research Leader.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Invention - Biological Material Dockets**

Docket  Name/Experimental Designation

List Bio Info Pubs/CRADA Distribution Info - ARS Distribution Info - Non ARS Disclosure Inventors

Docket No  FY

Biological Material Name

Synonym or Alternative Designation

Biological Material Description

Type of Biological Material (Choose ONE)

☒ Hybridoma

Immunogen used:

Antibody Class Produced:

Antigenic Specificity:

☐ Cell Line, Other than Hybridoma

☐ Microbial Isolate

☐ Cloned Genetic Material

☐ Other Other Material Desc

Record: 1/1

## Biological Material Main Screen

This tab displays the main information for the biological material. The required fields for initial data entry are:

Docket No

FY

Biological Material Name

Type of Biological Material

At that point the Biological Material Docket may be saved and data entry can be continued for Publication and CRADA info, Distribution info, Disclosure, and Inventors. The user may optionally enter a synonym or alternative designation and a more detailed description of the biological material on this tab screen.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** Invention - Biological Material Dockets

Docket B 0014.03 Name/Experimental Designation BIOLOGICAL MATERIAL NAME FOR OTT USERS MA

List Bio Info Pubs/CRADA Distribution Info - ARS Distribution Info - Non ARS Disclosure Inventors Signatures

Docket No B 0014.03 FY 2003

Biological Material Name BIOLOGICAL MATERIAL NAME FOR OTT USERS MANUAL

Synonym or Alternative Designation SYNONYM NUMBER ONE

Biological Material Description description of material

Type of Biological Material (Choose ONE)

☐ Hybridoma

Immunogen used:

Antibody Class Produced:

Antigenic Specificity:

☒ Cell Line, Other than Hybridoma

☐ Microbial Isolate

☐ Cloned Genetic Material

☐ Other Other Material Desc

FRM-40400: Transaction complete: 1 records applied and saved.

Record: 1/1

## Publications/CRADA Screen

The Pubs/CRADA tab screen is to capture additional information about related publications and/or CRADA agreements. If there is a publication reference, select 'Yes' and then provide the literature citation. If there is a CRADA agreement related to this biological material, select 'Yes' and then use the List of Values to choose the correct Agreement Number (see example below).

The screenshot shows the Oracle Forms Runtime window for the Agricultural Research Information System (ARIS). The title bar reads "Oracle Forms Runtime". The menu bar includes "File", "Edit", "Action", "Record", "Reference Tables", "Prints", and "Help". The toolbar contains various icons for file operations and navigation. The main window has a header "Agricultural Research Information System (ARIS)" and a sub-header "Biological Materials". Below the header, there are two input fields: "Docket" and "Name/Experimental Designation". A tabbed interface is present with tabs for "List", "Bio Info", "Pubs/CRADA" (which is selected), "Distribution Info - ARS", "Distribution Info - Non ARS", "Inventors", "Description", and "Signatures". The "Pubs/CRADA" tab contains two sections: "Publication Info" and "CRADA Info". The "Publication Info" section has a dropdown menu for "Are there any publications or manuscripts that describe this material and/or its use?" and a text area for "If yes, provide literature citations." The "CRADA Info" section has a dropdown menu for "Is there a CRADA?" and two input fields for "CRADA Agreement No" and "Amend No". The status bar at the bottom indicates "Record: 1/1".

## TINS CRADA Agreements List of Values Example:

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Invention - Biological Material Dockets**

Docket B 0004.03 Name/Experimental Designation BIOLOGICAL MATERIAL 1

TINS CRADA Agreements

Find %

Agmnt	No			FY	Title	Start Date	Stop Date	Company Name
23	4454	5	6576	5	6	2002 CENTER OF EXCELLENCE FOR FOOD, ...	07/27/2000	07/31/2001
58	32U4	0	0622		M	1990 Evaluation of the BARC Chemical Library	11/05/1989	11/04/1995
58	3K95	0	0789			2000 STRATEGIES FOR CONTROL OF CACAO ...	10/01/1999	09/30/2004
58	3K95	0	0790			2000 PRODUCTION OF PHARMACEUTICALS F...	10/01/1999	12/31/2002
58	3K95	0	0791			2000 DEVELOPMENT OF A "BIOACTIVE" PROD...	11/01/1999	10/31/2002
58	3K95	0	0792			2000 MICROBIOLOGICAL QUALITY AND SAFET...	11/01/1999	10/31/2001
58	3K95	0	0795			2000 USING NATURAL PRODUCTS TO CONT...	11/10/1999	11/09/2002
58	3K95	0	0796			2000 INVESTIGATION OF TOMATO FLAVOR	11/15/1999	11/14/2002
58	3K95	0	0805			2000 THE ROLE OF MELANOCORTIN-4-RECE...	02/01/2000	12/31/2001
58	3K95	0	0806			2000 IDENTIFICATION OF FOOD STABLE IRON...	01/01/2000	07/31/2001

Find OK Cancel

Choices in list: 152

Record: 1/1

## Final Screen example:

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Invention - Biological Material Dockets**

Docket B 0014.03 Name/Experimental Designation BIOLOGICAL MATERIAL NAME FOR OTT USERS MA

List Bio Info Pubs/CRADA Distribution Info - ARS Distribution Info - Non ARS Disclosure Inventors Signatures

**Publication Info**

Are there any publications or manuscripts that describe this material and/or its use? Yes

If yes, provide literature citations. Cite publication reference

**CRADA Info**

Is there a CRADA? Yes

CRADA Agreement No 58 3K95 0 0791 ?

Record: 1/1





## Distribution Info Screen - ARS

For Biological Material, it is required to track the actual physical location(s) of the material (which essentially grants the license), the handler of the material for that location, and, if required, the person responsible for shipping the material.

## Shipping Contact Pop-up Screen

## Adding an ARS Location

To add an ARS Location, select <Add ARS Location> and the following pop-up screen will appear.

For ARS Location, enter the full name of the location. The  button will copy the address entered for the location down to the Contact Info and Shipping Contact Info blocks. Enter the Location information. The contacts at this ARS site should be ARS personnel so use the List of Values  button to select the ARS person. *Do not attempt to directly enter the ARS employees name as the application must retrieve additional information about the employee from the employee's personnel record.* After the List of Values is invoked, type the first few letters of the person's last name.

Then select the <Find> button. This will display a list that matches the search criteria.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Reference Tables Prints Help

ARS ORGANIZATION FOR DISTRIBUTION

ARS Employees

Find: GRE%

Last Name	First	MI	Suffix	Official Title	MC
GREEN	JULIE	L		BIOLCL SCI LAB	12
GREEN	KAREN	C		BIOLCL SCI LAB	12
GREEN	KARL	M		GRDNR	12
GREEN	KIMBERLY	L		BUDGET TECHNICI	19
GREEN	NICOLE	D		BIOLCL SCI LAB	12
GREEN	PATRICIA	A		BIOLCL SCI AID	36
GREEN	RACHEL	R		PHYS SCI AID	19
GREEN	STEPHEN	M		BIOLCL SCI TECH	12
GREEN	TAMARA	M		OFF AUTOMATION	82
GREEN	TANYA	K		VOLUNTEER	64
GREEN	THORIS	A		BIOLCL SCI TECH	66
GREEN	TIMOTHY	R		AGRL ENGR	54
GREEN	TONNICHAKA	L		BIOLCL SCI AID	64
GREEN	TRACY	ALL...		BIOLCL SCI AID	66
GREEN	V	STE...		SOIL SCNTST	12
GREEN	WILLA	R		FISC ANAL	03

Find OK Cancel

Save Cancel Close

Highlight the correct employee and select <OK>. This will return the employee's information to the previous screen.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Reference Tables Prints Help

ARS ORGANIZATION FOR DISTRIBUTION

Bio Docket No: 0014.03

Location Info

ARS Location: ARS LOCATION IN ILLINOIS

Physical Location: Warehouse 47, Bin 23

Address: 89 Summer St

City: Champagne State: IL Country: US UNITED STATES

Contact Info

Last Name: GREEN First: PATRICIA Middle: A Suffix: ?

Title: BIOLCL SCI AID

Address: DEPT CROP & SOIL SCIENCES MICHIGAN STATE UNIVERSITY

City: EAST LANSING State: MI Postal Code: 48824 Country: US

Phone: Fax: UNITED STATES

Email:

Shipping Contact Info

Last Name: First: Middle: Suffix: ?

Title:

Address: 89 Summer St

City: CHAMPAGNE State: IL Postal Code: Country: US

Phone: Fax: UNITED STATES

Email:


Save Cancel Close

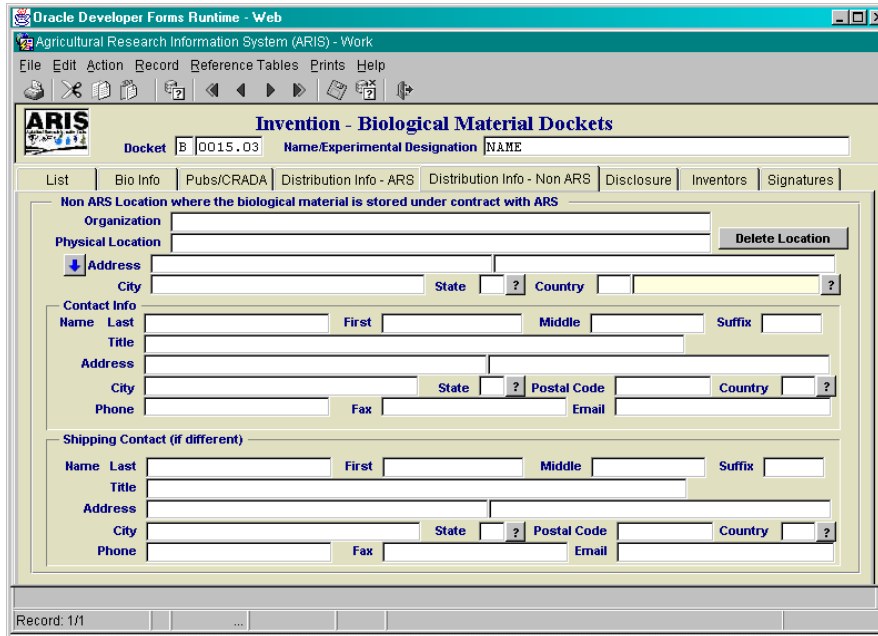
Repeat this procedure for selecting the shipping contact.

To save entry, select <Save>.

The user will be returned to the main screen and the ARS organization will be displayed.

## Distribution Info – Non ARS

In some cases, biological material may be stored at a non-ARS facility. *There can be only one non-ARS location entered for a single biological material.* The screen is direct entry. The  can be used to copy the organizational address down into the Contact Info and Shipping Contact block. The location information may be deleted by selecting <Delete Location>.



Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Reference Tables Prints Help

**ARIS** Invention - Biological Material Dockets  
Docket B 0015.03 Name/Experimental Designation NAME

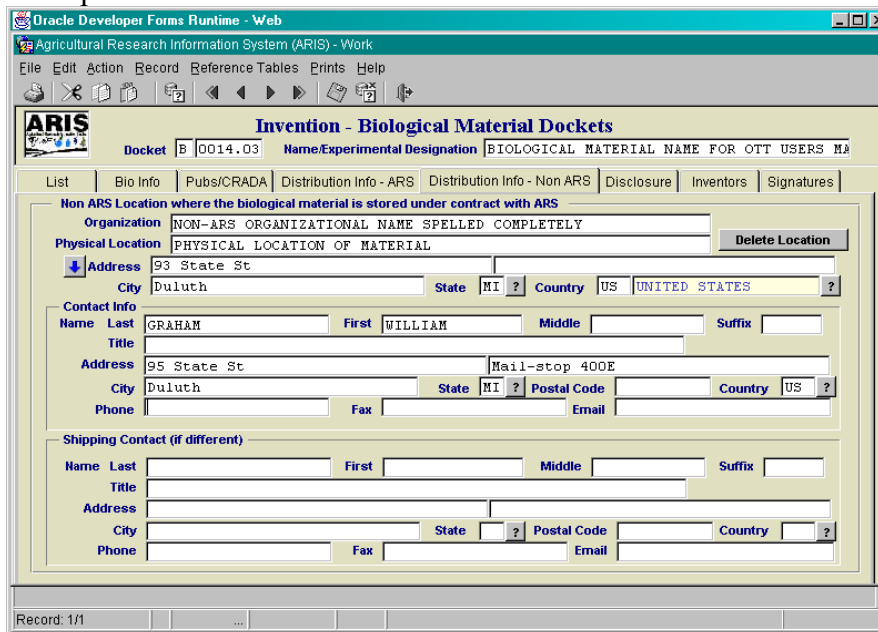
List Bio Info Pubs/CRADA Distribution Info - ARS Distribution Info - Non ARS Disclosure Inventors Signatures

Non ARS Location where the biological material is stored under contract with ARS

Organization  
Physical Location Delete Location  
Address  
City State ? Country ?  
Contact Info  
Name Last First Middle Suffix  
Title  
Address  
City State ? Postal Code Country ?  
Phone Fax Email  
Shipping Contact (if different)  
Name Last First Middle Suffix  
Title  
Address  
City State ? Postal Code Country ?  
Phone Fax Email

Record: 1/1

Example:



Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Reference Tables Prints Help

**ARIS** Invention - Biological Material Dockets  
Docket B 0014.03 Name/Experimental Designation BIOLOGICAL MATERIAL NAME FOR OTT USERS MA

List Bio Info Pubs/CRADA Distribution Info - ARS Distribution Info - Non ARS Disclosure Inventors Signatures

Non ARS Location where the biological material is stored under contract with ARS

Organization NON-ARS ORGANIZATIONAL NAME SPELLED COMPLETELY  
Physical Location PHYSICAL LOCATION OF MATERIAL Delete Location  
Address 93 State St  
City Duluth State MI ? Country US UNITED STATES ?  
Contact Info  
Name Last GRAHAM First WILLIAM Middle Suffix  
Title  
Address 95 State St Mail-stop 400E  
City Duluth State MI ? Postal Code Country US ?  
Phone Fax Email  
Shipping Contact (if different)  
Name Last First Middle Suffix  
Title  
Address  
City State ? Postal Code Country ?  
Phone Fax Email

Record: 1/1

## Disclosure/Detailed Description Screens

It is required that the user answer four questions to disclose the invention. The responses to these questions provide a complete description of the invention. Upon clicking the Disclosure tab, the user will see a tab for each question. The user should answer each question.

### Question 1

The screenshot shows the Oracle Developer Forms Runtime - Web interface for the Agricultural Research Information System (ARIS) - Work. The title bar indicates the application is running in a web browser. The main window has a menu bar (File, Edit, Action, Record, Reference Tables, Prints, Help) and a toolbar. Below the menu bar is a header section with the ARIS logo and the title "Invention - Biological Material Dockets". The header contains two tabs: "Docket" and "Name/Experimental Designation". The "Docket" tab is active, showing the value "0014.03". The "Name/Experimental Designation" tab shows the value "BIOLOGICAL MATERIAL NAME FOR OTT USERS MA". Below the header is a navigation bar with tabs: List, Bio Info, Pubs/CRADA, Distribution Info - ARS, Distribution Info - Non ARS, Disclosure, Inventors, and Signatures. The "Disclosure" tab is active. Below the navigation bar is a section titled "Disclosure Descriptions" with four tabs: Desc (Q1), Desc (Q2), Desc (Q3), and Desc (Q4). The "Desc (Q1)" tab is active. Below the tabs is a "Question" section with a text area containing the following text: "List any other people who have worked with you on the development of this biological material, including ARS technical staff. Was this material developed in cooperation with a university or other organization? List all cooperator employees who worked with you to develop this material." Below the question is a "Response" section with a large text area for the user's answer. At the bottom of the response area is a "Clear Response" button. The status bar at the bottom of the window shows "Record: 1/1".

### Question 2

The screenshot shows the Oracle Developer Forms Runtime - Web interface for the Agricultural Research Information System (ARIS) - Work. The title bar indicates the application is running in a web browser. The main window has a menu bar (File, Edit, Action, Record, Reference Tables, Prints, Help) and a toolbar. Below the menu bar is a header section with the ARIS logo and the title "Invention - Biological Material Dockets". The header contains two tabs: "Docket" and "Name/Experimental Designation". The "Docket" tab is active, showing the value "0014.03". The "Name/Experimental Designation" tab shows the value "BIOLOGICAL MATERIAL NAME FOR OTT USERS MA". Below the header is a navigation bar with tabs: List, Bio Info, Pubs/CRADA, Distribution Info - ARS, Distribution Info - Non ARS, Disclosure, Inventors, and Signatures. The "Disclosure" tab is active. Below the navigation bar is a section titled "Disclosure Descriptions" with four tabs: Desc (Q1), Desc (Q2), Desc (Q3), and Desc (Q4). The "Desc (Q2)" tab is active. Below the tabs is a "Question" section with a text area containing the following text: "Provide a detailed description of the biological material to be licensed. Describe the potential research and/or commercial uses for the material." Below the question is a "Response" section with a large text area for the user's answer. At the bottom of the response area is a "Clear Response" button. The status bar at the bottom of the window shows "Record: 1/1".

### Question 3

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Invention - Biological Material Dockets**

Docket B 0014.03 Name: Experimental Designation BIOLOGICAL MATERIAL NAME FOR OTT USERS MA

List Bio Info Pubs/CRADA Distribution Info - ARS Distribution Info - Non ARS Disclosure Inventors Signatures

**Disclosure Descriptions**

Desc (Q1) Desc (Q2) Desc (Q3) Desc (Q4)

**Question**

Has this material been provided to any public or private organizations for research or testing? What type of agreement was used to transfer the material? Is there current commercial interest in licensing this material?

**Response**

Clear Response

Record: 1/1

### Question 4

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

**ARIS** **Invention - Biological Material Dockets**

Docket B 0014.03 Name: Experimental Designation BIOLOGICAL MATERIAL NAME FOR OTT USERS MA

List Bio Info Pubs/CRADA Distribution Info - ARS Distribution Info - Non ARS Disclosure Inventors Signatures

**Disclosure Descriptions**

Desc (Q1) Desc (Q2) Desc (Q3) Desc (Q4)

**Question**

How much of this material is available for shipping? Can additional quantities be easily replicated? Are there any back-up storage facilities available?

**Response**

Clear Response

Record: 1/1


## Inventor Screens

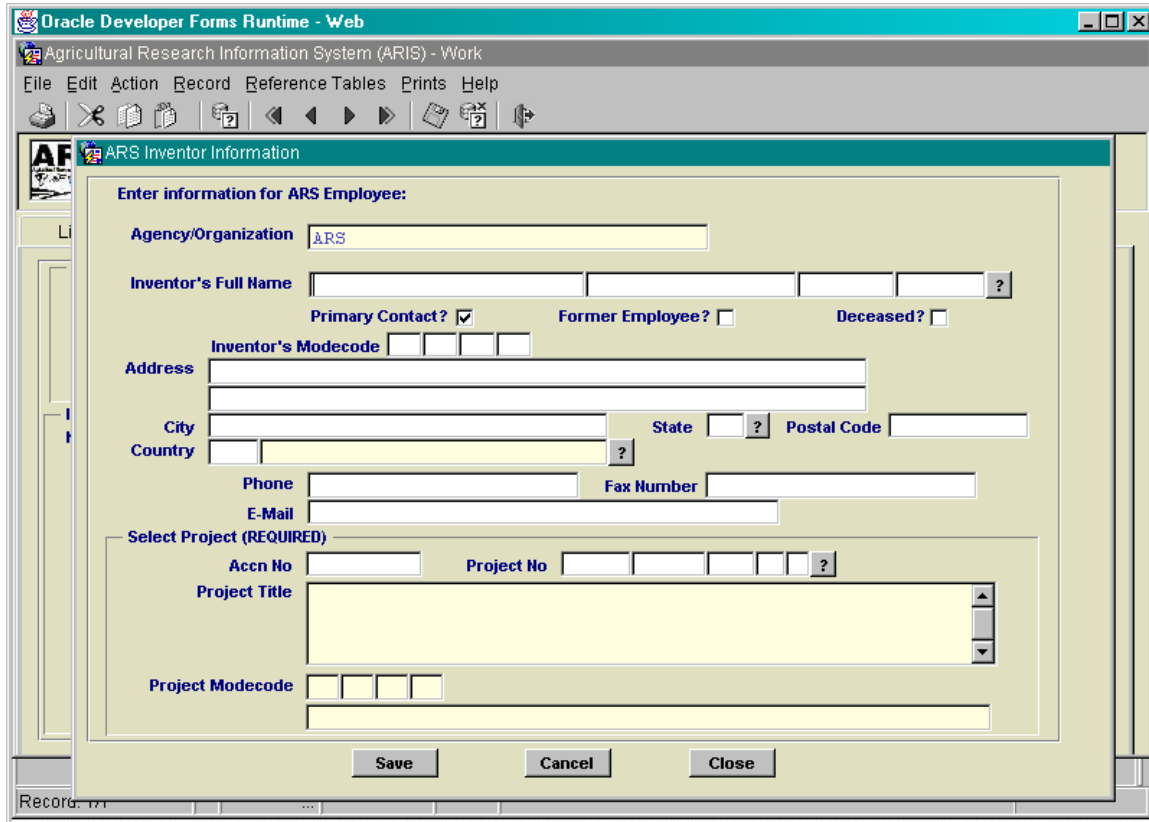
The user entering the biological material docket will be required to select at least one inventor who is designated as the Primary Contact before he will be allowed to approve the invention. *The inventor designated as the Primary Contact will be considered the Lead Inventor.* The Modecode for the project of the lead inventor will be used for the invention. This is important since many users have modecode restrictions and although you are allowed to pick any ARS person as the lead inventor, if you do not have access to his modecode assignment, the invention record will 'disappear' from your work queue.

The Main Inventor screen presents the list of inventors and details for the inventor selected on the list. The following sections will show how to Add ARS or Non-ARS Inventors.




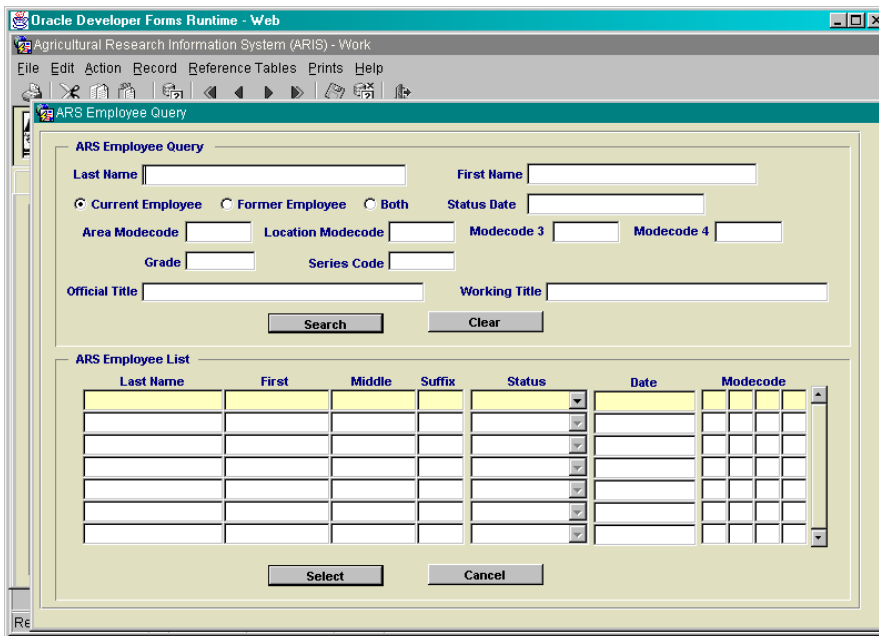
## Adding an ARS Inventor

To enter an ARS Inventor, click the <Add ARS Inventor> button on the Inventor tab page. This will display screen below. The Agency will default to ARS and will not be modifiable. The user will query and select from a list of ARS employees by clicking the  button. Do not attempt to directly enter the ARS employees name as the application must retrieve additional information about the employee from the employee's personnel record.



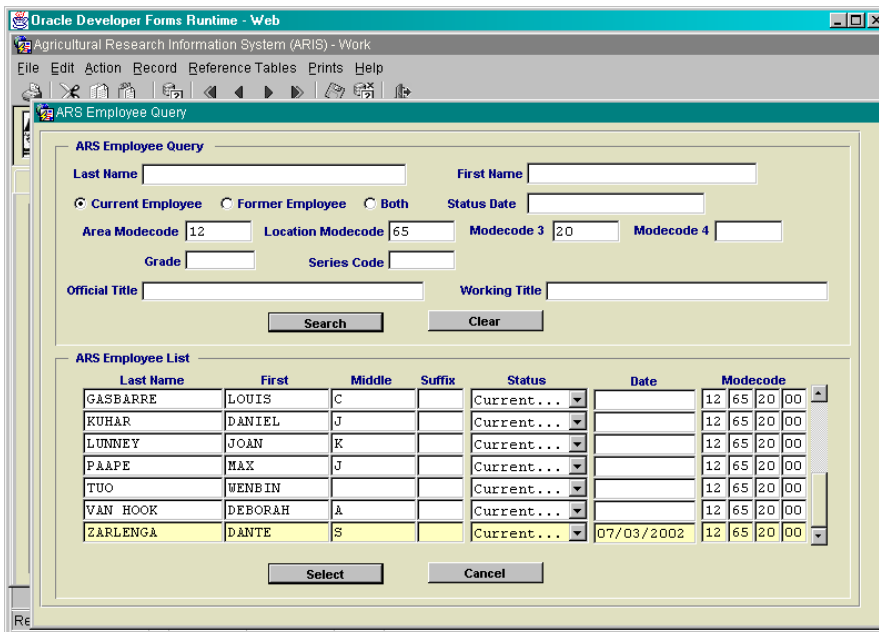
The screenshot shows a web-based form titled "ARS Inventor Information" within the "Oracle Developer Forms Runtime - Web" environment. The form is for entering information for an ARS Employee. The "Agency/Organization" field is pre-filled with "ARS". The "Inventor's Full Name" field is followed by a query button icon. There are checkboxes for "Primary Contact?" (checked), "Former Employee?" (unchecked), and "Deceased?" (unchecked). The "Inventor's Modecode" field is followed by three empty boxes. The "Address" field is followed by a long text input area. The "City" field is followed by a "State" field with a query button icon and a "Postal Code" field. The "Country" field is followed by a query button icon. There are fields for "Phone" and "Fax Number". The "E-Mail" field is followed by a long text input area. The "Select Project (REQUIRED)" section contains an "Accn No" field, a "Project No" field with a query button icon, a "Project Title" field with a list box, and a "Project Modecode" field with three empty boxes. At the bottom are "Save", "Cancel", and "Close" buttons. The status bar at the bottom left shows "Record: 171".

Selecting the  beside the Inventor name field will display the following screen:



This is an interactive screen where the user may enter query criteria, hit <Search> and review the list of employees returned, clear or modify the criteria, hit <Search> again and retrieve a new list.

In this example, the user is retrieving all employees in Modecode 12-65-20. The user will then scroll the list, or modify the criteria and research. Once the correct employee has been found, the user will choose the <Select> button. There are options for searching only current employees, only former employees (retired or left the agency) or both. Select the corresponding radio button for Current Employee, Former Employee, or Both. The default is to only search current employees.



Last Name	First	Middle	Suffix	Status	Date	Modecode
GASBARRE	LOUIS	C		Current...		12 65 20 00
KUJAR	DANIEL	J		Current...		12 65 20 00
LUNNEY	JOAN	K		Current...		12 65 20 00
PAAPE	MAX	J		Current...		12 65 20 00
TUO	WENBIN			Current...		12 65 20 00
VAN HOOK	DEBORAH	A		Current...		12 65 20 00
ZARLENGA	DANTE	S		Current...	07/03/2002	12 65 20 00

This will return the selected employee to the previous Add ARS Inventor screen. Since this is the first inventor, the application has set the default for this person to the Primary Contact. The user may change this setting. The user may now enter additional information about the employee including phone, fax and email. The user may also check if this is a former employee or if the employee is known to be deceased. The next step is to choose the project the employee is assigned under while working on this invention. Click the **?** next to Project No.

This will automatically look for projects the employee is assigned to as an investigator. The results will be displayed in a list as shown below. *If the desired project is not shown, the user may clear the query criteria and requery on new criteria. The user must clear out the previous query criteria before searching on another field such as Accn No.* If the desired project is not shown, the user may clear the query criteria and requery on new criteria. Once the correct project has been found, highlight it, and push the <Select> button.

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This will return the project information to the previous screen:

All required information has been entered and the user may save the record by selecting the <Save> button.

The main tab will be redisplayed with the new inventor.

## Adding a Non-ARS Inventor

To add a Non-ARS Inventor, select the 'Add Non-ARS Inventor' button from the main Inventor tab screen and the following will display:

The screenshot displays the 'Oracle Developer Forms Runtime - Web' window. The title bar indicates the application is 'Agricultural Research Information System (ARIS) - Work'. The menu bar includes 'File', 'Edit', 'Action', 'Record', 'Reference Tables', 'Prints', and 'Help'. The toolbar contains various navigation and editing icons. The main window area is titled 'ARIS Invention - Biological Material Dockets'. Below this, a tab labeled 'Non-ARS Inventor Information' is active. The form contains the following fields and controls:

- Agency/Organization**: Text input field.
- Non ARS Location Desc**: Text input field.
- Inventor's Last Name**: Text input field.
- First Name**: Text input field.
- Middle Name**: Text input field.
- Suffix Name**: Text input field.
- Address**: Two stacked text input fields.
- City**: Text input field.
- State**: Dropdown menu with a '?' icon.
- Postal Code**: Text input field.
- Country**: Dropdown menu with a '?' icon.
- Phone**: Text input field.
- Fax Number**: Text input field.
- Email**: Text input field.
- Buttons**: 'Save', 'Cancel', and 'Close' buttons at the bottom.

The status bar at the bottom left shows 'Record: 1/1'.

All information for a Non-ARS inventor must be entered manually. The Agency/Organization name will accommodate 100 characters. *For consistency of use and to aid in querying, the business rule is to enter the full name of the Agency or Organization (e.g. UNIVERSITY OF ILLINOIS).* There are List of Values available for State and Country codes.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

ARIS Invention - Biological Material Dockets

Non-ARS Inventor Information

Enter information for Non-ARS Employee (enter Lead Inventor first):

Agency/Organization UNIVERSITY OF ILLINOIS

Non ARS Location Desc Champagne-Urbana

Inventor's Last Name DOE

First Name JOHN

Middle Name M

Suffix Name

Address 80 Yoga Drive

City CHAMPAGNE State IL ? Postal Code

Country US ? UNITED STATES

Phone Fax Number

Email

Save Cancel Close

Record: 1/1

Once the data for the Non-ARS inventor has been entered, select the Save button. The application will be returned to the list and will display all inventors.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Prints Help

ARIS Invention - Biological Material Dockets

Docket B 0015.03 Name/Experimental Designation NAME

List Bio Info Pubs/CRADA Distribution Info - ARS Distribution Info - Non ARS Disclosure Inventors Signatures

Inventor List

Name (Last, First, MI, Suffix)	Primary Contact	Former Emp	Deceased
ZARLENGA DANTE S	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DOE JOHN M	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Add ARS Inventor Add Non ARS Inventor View/Modify Inventor Delete Inventor

Inventor Details

Name DOE JOHN M Modecode

Address 80 Yoga Drive

City, State, Postal Code CHAMPAGNE IL Country US

Phone Fax Number

E-Mail

Accn No Project No

Project Title

Modecode/Location

Agency/Organization UNIVERSITY OF ILLINOIS

Non ARS Location Desc CHAMPAGNE-URBANA

Record: 2/2

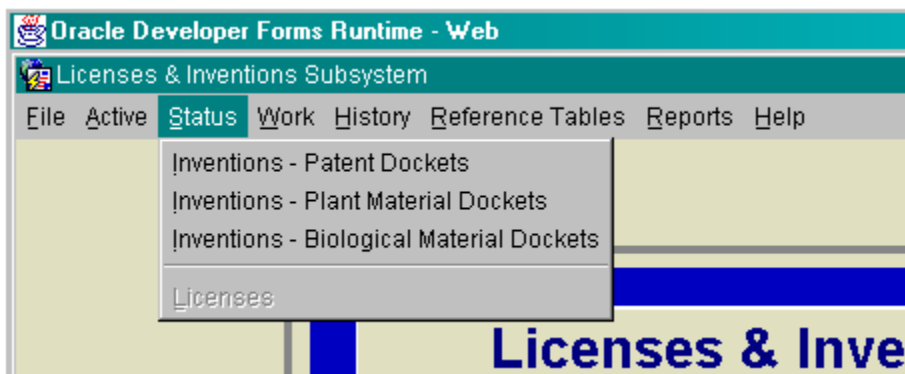
## Signature Screen

To approve the invention work record, the user will sign in the correct signature block for their level. There are designated rules for the work flow of a work record. Usually, a Research Leader will approve the initial work record and it will be 'sent' to either the CD/LD/DAD for his area/location or directly to the Area Director depending on the user's security level. Alternatively, if necessary, a new record can be created at HQs. This will shorten the approval process. Once the user has approved the record, they will no longer see it in their work queue for modification. To view its current status, the user will need to access the Status screen off the main menu. The following example will show the Research Leader approving the new invention and then the display of its level in the Status screen.

Title	Sig Code	Name	Date	Approve	Disapprove
Research Leader	GREEENE	JOH	07/28/2003	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Headquarters				<input type="checkbox"/>	<input type="checkbox"/>

To approve the invention, Research Leaders will enter their name, the approval date (which will default to the current date) and check the approve checkbox. Note, personnel who have signature codes will either manually enter their signature code or use the **?** button to look up their code. They will not directly enter their name. Once the user has signed the record, click the <Approve/Disapprove> button. If all required information has been supplied, the invention will move to the next level for the Technology Transfer Coordinator's review. If the user receives a message that they need to correct or enter additional information, they will need to cancel their signature on this tab, complete the data entry/modification, and then resign the record.

To view the record now, return to the main menu, select Status -> Inventions – Biological Material Dockets.



The Biological Material Docket will display on this list and show that it is now at the TTC Level awaiting their review and signature. When the signature process is completed, the record will move to the Active File within a few minutes and be viewable by all personnel.

The screenshot shows the ARIS Inventions - Biological Material Dockets form. The title bar reads "Oracle Developer Forms Runtime - Web". The main title is "Agricultural Research Information System (ARIS) - Work Status". The menu bar includes File, Edit, Action, Record, Prints, and Help. The main menu has options: List, Bio Info, Pubs/CRADA, Distribution Info - ARS, Distribution Info - Non ARS, Disclosure, Inventors, and Signatures. The "List" menu is open, showing a list of docket records. The records are displayed in a table with columns: Docket No, Name or Experimental Designation, Material Type, and Submission Level. The first record is highlighted in yellow.

Docket No	Name or Experimental Designation	Material Type	Submission Level
B 0001.03	PEROLA VIRUS		TTC Level
B 0003.03	THE THIRD EYE	Cloned Genetic Material	TTC Level
B 0004.03	BIOLOGICAL MATERIAL 1	Hybridoma	RL Level
B 0006.03	NEW BIOLOGICAL MATERIAL	Cloned Genetic Material	NP Staff Level
B 0008.03	NAME OF MATERIAL	Other	RL Level
B 0009.03	NAME OF MATERIAL 2	Other	RL Level
B 0010.11	BIO WASTE	Cell Line, Other than H...	NPS Level
B 0011.03	KC'S BIOLOGICAL MATERIAL	Cloned Genetic Material	OTT Support Level
B 0014.03	BIOLOGICAL MATERIAL NAME F	Cell Line, Other than H...	RL Level
B 0015.03	NAME	Cell Line, Other than H...	TTC Level

Record: 1/10





## 4. License Subsystem

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### ***Licensing – Technology Transfer IDs***

Licenses were previously based on selecting one Serial Number and creating a new license for that Serial Number. This was inadequate to support licensing needs. Some inventions are not patent applications, for example Plant Variety Protection Certificates. Some inventions must be licensed off a provisional serial number or under a foreign patent. Other licenses must be for multiple inventions.

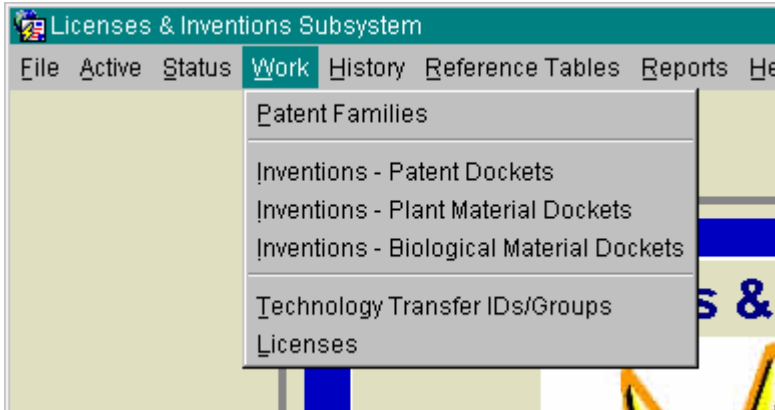
Licensing personnel will now group inventions under a Technology Transfer ID. This ID will identify and describe a related group of inventions. It may include Patent Dockets, Plant Material Dockets and/or Biological Material Dockets. Licenses will then be created under a TT ID and given a sequential number within that TT ID. The user will have the capability to tailor each license under the TT ID and include all or selected dockets available for the license. (There will be instances where a TT ID may group several patents for related technology, but the license for a specific company may be for only 1 of the patents within the TT ID group).

## Technology Transfer IDs (TT IDs)

Technology Transfer IDs will be a 6 digit number of the user's designation and will be given a group description. It will be helpful to keep the description short since it will be displayed on licensing screens for information on the license. *The group description should be unique, short and recognizable.* The description should identify the technology being grouped.

### Menu Selection

To create and modify Technology Transfer IDs, select Work – > Technology Transfer IDs/Groups. Work is the area where users are allowed to create and modify Technology Transfer IDs. There is no approval process. The same information may be viewed under the Active screens but Active screens do not allow modification of the information. Only selected personnel will have access to the work area of Technology Transfer IDs.



## List Screen

This screen will list all the TT IDs currently in the system. A TT ID may be 'obsoleted' over time so that it is no longer used for licensing. During the conversion from the old ARIS data to this method, a TT ID was automatically generated for existing licenses based on the patent docket number the serial number was assigned to. This was done to retain as much data as possible. The OTT Licensing Group will re-enter data for all licenses that are currently active. The older, terminated licenses will be retained for historical reference with TT IDs of 900,000 and higher.

**Oracle Forms Runtime**

File Edit Action Record Window Help

**Agricultural Research Information System (ARIS) - Work**

**ARIS**

**Technology Transfer ID**

TT ID 000786 GENERATED ID - DOCKET NO 772.87

List TT ID Grouping Maintain TT ID Docket List Licenses

TT ID	TT ID Description	Status	Last Modified By
<input type="checkbox"/> 000781	GENERATED ID - DOCKET NO 102.01 edited	Active	JAB 05/02/2003
<input type="checkbox"/> 000783	GENERATED ID - DOCKET NO 693.87	Active	USDA 05/06/2003
<input type="checkbox"/> 000784	GENERATED ID - DOCKET NO 750.87	Active	USDA 04/28/2003
<input type="checkbox"/> 000785	GENERATED ID - DOCKET NO 771.87	Active	USDA 04/28/2003
<input type="checkbox"/> 000786	GENERATED ID - DOCKET NO 772.87	Active	USDA 04/28/2003
<input type="checkbox"/> 000787	GENERATED ID - DOCKET NO 852.87	Active	USDA 04/28/2003
<input type="checkbox"/> 000788	GENERATED ID - DOCKET NO 858.87	Active	USDA 04/28/2003
<input type="checkbox"/> 000789	GENERATED ID - DOCKET NO 869.87	Active	USDA 04/28/2003
<input type="checkbox"/> 000790	GENERATED ID - DOCKET NO 1129.87	Active	USDA 04/28/2003
<input type="checkbox"/> 000793	GENERATED ID - DOCKET NO 899.87	Active	USDA 04/28/2003
<input type="checkbox"/> 000794	GENERATED ID - DOCKET NO 903.87	Active	USDA 04/28/2003
<input type="checkbox"/> 000795	GENERATED ID - DOCKET NO 906.87	Active	USDA 04/28/2003

Add TT ID Delete TT ID


Record: 13/7 <OSC> <DBG>

## TT ID Grouping Screen

The list of Dockets that have been grouped under the TT ID are displayed on the TT ID Grouping tab screen. The docket description is built based on the type of invention. If it is a Patent Docket, the docket description will be the Invention Title, Patent No and Serial No; for a Plant Material, the docket description will be the Plant Name and the Breeder specified as the primary contact; and for a Biological Material, the docket description will be the Biological Material Name and the inventor specified as the primary contact. This screen allows the user to update the Group Description, change the status code (Active or Obsolete) and update the status date. *The group description should be unique, short and recognizable.* The list of Dockets is view only. Maintaining the Docket List is done on the 'Maintain TT ID Docket List' tab screen.

[illegible]

## Licenses

This tab screen shows the licenses currently assigned to the TT ID Group selected on the list screen (and displayed in the header). It is a view only list. *Note it shows licenses that are in Active as well as licenses that are currently in work.* The user can select a license and hit  to go to the license form and view the details of the license. The user can also choose to Add a License to this TT ID Group (which will navigate to the work license form and automatically query all licenses currently in work that are under the selected TT ID).

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Agricultural Research Information System (ARIS) - Work

File Edit Action Record Help

ARIS

### Technology Transfer ID

TT ID: 000783 GENERATED ID - DOCKET NO 693.87

List | TT ID Grouping | Maintain TT ID Docket List | Licenses

TT ID	Lic No	Work/Active	Type License	In License	Lic Status	Lic Status Date
000783	001	Active ▾	Non-Exclusive ▾	<input type="checkbox"/>	Licensed ▾	09/19/1988 ➡
000783	003	Work ▾	▾	<input type="checkbox"/>	Licensed ▾	05/09/2003 ➡
000783	004	Work ▾	▾	<input type="checkbox"/>	Licensed ▾	05/09/2003 ➡
000783	005	Work ▾	▾	<input type="checkbox"/>	Licensed ▾	05/09/2003 ➡
		▾	▾	<input type="checkbox"/>	▾	➡
		▾	▾	<input type="checkbox"/>	▾	➡
		▾	▾	<input type="checkbox"/>	▾	➡
		▾	▾	<input type="checkbox"/>	▾	➡
		▾	▾	<input type="checkbox"/>	▾	➡
		▾	▾	<input type="checkbox"/>	▾	➡
		▾	▾	<input type="checkbox"/>	▾	➡
		▾	▾	<input type="checkbox"/>	▾	➡
		▾	▾	<input type="checkbox"/>	▾	➡
		▾	▾	<input type="checkbox"/>	▾	➡
		▾	▾	<input type="checkbox"/>	▾	➡
		▾	▾	<input type="checkbox"/>	▾	➡
		▾	▾	<input type="checkbox"/>	▾	➡

**Add License**

Record: 1/4      ...      <OSC>

## Maintain TT ID Docket List

This tab screen presents the list of Dockets currently assigned to the TT ID selected on the list screen and displayed in the header. This is an interactive screen. The user may query Dockets with the query criteria entered in the Query box (Docket Prefix, Docket No, Serial No, Patent No, Title or Inventor Last Name), retrieve a list of dockets, assign a docket to the TT ID, clear the query criteria and requery with different criteria. Once criteria has been entered, select the <Query> button and the Query Results will be displayed in the tree structure shown on the left. The query will retrieve all dockets AND their entire patent family (if applicable) and display the list. The user may view select Docket details by highlighting a docket number on the tree and clicking the Docket Info Button (shown below). To move items to/from the Docket List, the user will highlight the Docket No on the tree structure and select the right arrow to move it to the Docket List. To remove an item from the Docket List, the user will select the left arrow. Note that moving an item from the tree to the Docket List will not actually remove it from the tree display. The user may chose to move items to and from the list and change query criteria to change the list to facilitate assigning Dockets to the TT ID group.

In this example, there is currently only one docket assigned to this TT ID.

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Agricultural Research Information System (ARIS) - Work

File Edit Action Record Help

ARIS

Technology Transfer ID

TT ID 000783 GENERATED ID - DOCKET NO 693.87

List TT ID Grouping Maintain TT ID Docket List Licenses

Query Criteria

Docket Prefix Docket No FY Serial No Patent No Clear

Invention Title Inv Last Name Inv First Name Query

Query Results/Pick List

Docket Info

Docket List

TT ID 000783

Docket No	Description
U 0693.87	TURKEY SEMEN EXTENDER

Save

Record: 1/1 ... <OSC>

## Querying Dockets

We will enter query criteria, and select <Query>. In this example, we are querying anything with 'TURKEY' in the title.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Help

ARIS Technology Transfer ID

TT ID 000783 GENERATED ID - DOCKET NO 693.87

List TT ID Grouping Maintain TT ID Docket List Licenses

Query Criteria

Docket Docket No FY Serial No Patent No Clear

Prefix No

Invention Title %TURKEY% Inv Last Name Inv First Name Query

Query Results/Pick List

- PATENT U 0693.87
- PATENT U 0750.87
- PATENT U 1061.87
- PATENT U 2039.90

Docket Info

Docket List

TT ID 000783

Docket No	Description
U 0693.87	TURKEY SEMEN EXTENDER

Save

Record: 1/1 ... <OSC>

There are 4 docket entries that match our query criteria. We may choose to view the detailed docket information by selecting a node on the tree and selecting <Docket Info>.





## Docket Info

Selecting Docket Info will navigate to the appropriate invention form (Patent Docket, Plant or Biological) and display the record selected. To return, simply exit this form.

Docket No	Serial No	Patent No	Most Recent Status
0750.87	06/398,001	4,388,298	Patent Expired

## Adding/Removing a Docket for the TT ID Group

To add a Docket to the TT ID Group, select it on the tree, and then click  to copy this docket into the list in the TT ID Block. To save the changes, select the <Save> button under the list. To remove the docket from the TT ID Group, select it and then click the  to remove it. The user must save the changes after removing the docket from the list.

Docket No	Description	TT ID
U 0693.87	TURKEY SEMEN EXTENDER	000783
U 0750.87	PROPAGATION OF HEMORR	000783

## Licensing Inventions

Licenses will be created under Technology Transfer IDs (TT IDs). TT IDs will identify a group of related inventions. The group may include Patented Inventions, Plant Materials and/or Biological Materials. License Numbers will be sequentially assigned within a grouping of inventions (for a specific TT ID). Pending Licenses will be assigned a temporary number of 501 – 999 until they become an active license. Active Licenses are sequentially numbered starting at 1 within each TT ID.

## License Types

### Pending Licenses

These are licenses that have a current license status of 'Pending'. They are given a temporary license number that is between 501-999 under the TT ID they have been assigned. A pending license will show a reduced set of tab screens. It will show the main license tab screen, the Companies tab screen so the user may enter the company that this license is pending for, the Pending tab screen which allows data entry of dates and information specific to pending licenses (shown below), the Comments tab screen and the Signature tab screen. If a pending license does not result in an actual license being awarded, the record is closed by changing the license status to 'Closed'.

### Active Licenses

Active Licenses are licenses that are or have been active. Their current status may be 'Licensed' or 'Terminated'. Active Licenses are numbered from 1-500 based on the next available license number for the TT ID selected. They will show tab screens to support data entry of data that occurs on active licenses. This includes: Fee Info, Diligence, Income, Disbursements, and Patent Cost Reimbursements. Active Licenses may be terminated but all data is retained for historical reference.

## In License

In Licenses occur when a co-owner of an invention grants rights to USDA. To indicate that the license being entered is an 'In-License', select the checkbox on the main screen:

The screenshot shows the 'License Records' form in the ARIS system. The 'In License?' checkbox is checked. The 'License No' is 000983.002, 'Group Description' is GENERATED ID - DOCKET NO, and 'License Status' is Licensed. The 'Issue Date' is 05/04/2003. The 'Inventions' table lists one invention: DOCKET NO 0333.99, Description PVP "JACINTO" RICE. The 'Type Of License' is Co-Exclusive. The 'License Status Date' is 05/09/2003. The 'License Status Comments' are joint in license.

License No	000983	002	In License?	<input checked="" type="checkbox"/>	Issue Date	05/04/2003	Expiration Date					
<b>Inventions</b> <table border="1"> <thead> <tr> <th>Docket No</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>U 0333.99</td> <td>PVP "JACINTO" RICE</td> </tr> </tbody> </table>									Docket No	Description	U 0333.99	PVP "JACINTO" RICE
Docket No	Description											
U 0333.99	PVP "JACINTO" RICE											
<b>Type Of License</b> Co-Exclusive <b>No. of Co Exclusive Licenses</b>												
<b>License Status</b> Licensed <b>License Status Date</b> 05/09/2003												
<b>License Status Comments</b> joint in license												

This will enable an additional tab screen labeled In License to allow capture of specific information about the license. The co-owner is entitled portion of the income generated by the license as defined by agreement.

The screenshot shows the 'In License Terms' and 'In License Reports/Payments' sections of the 'License Records' form. The 'In License Terms' section includes fields for '% Net Revenues Paid to Licensor', 'Net Revenue Definition', and 'Patent Expenses Paid By'. The 'In License Reports/Payments' section includes a table with columns for Report/Payment Due Date, Gross Revenues Amount, Net Revenue Amount, Amt Disbursed To Licensor, Amt To PRA, Date Sent to FMO, and Date Sent to NEC. The 'Add Record' and 'Delete Record' buttons are at the bottom.

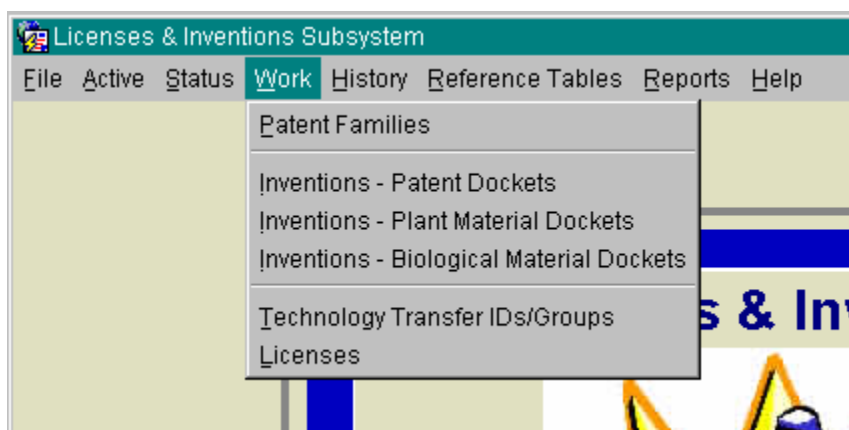
Report/Payment Due Date	Gross Revenues Amount	Net Revenue Amount	Amt Disbursed To Licensor	Amt To PRA	Date Sent to FMO	Date Sent to NEC

## Licenses – Work Records

The user may create a new work record for a new License using the Work – Licenses screen. If there is an existing License that needs modification, the user must first go to the Active -> Licenses screen, select the License that requires modification, and then select Action -> Create Work Record. Pending and Active Licenses may have been approved to the Active File. It is good practice to check the Active file before entering the license information.

## Menu Selection

To access Work Records for Licenses, select the Menu option Work -> Licenses.





## Adding a License

When adding a License, select the <Add License> button. There are two main selections when adding a license. First the user must query the correct Technology Transfer ID and retrieve the list of inventions for that TT ID. Then mark the inventions that are to be included in this license. Finally, indicate whether the application should create a Pending License or an Active License. Pending Licenses allow the user to capture additional information on dates and options.

The user may directly enter a TT ID and select <Query Docket List> or they may use the available list of values by selecting **?**. The following is an example using the list of values. The list will only display TT IDs that are considered 'Active'. If the user must license a TT ID that has been obsoleted, they must get the TT ID reinstated to 'Active' before they can create a new license.

Selecting a TT ID will then display that TT ID and all associated dockets assigned to that TT ID.

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Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Forms Prints Help

ARIS License [ ] Group Description [ ] License Status [ ]

Add License

TT ID / Invention List  
TT ID [000781] Group Description [GENERATED ID - DOCKET NO 102.01 edited] ?

Query Docket List

Docket No	Docket Description
<input type="checkbox"/> P 0016.03	Plant Variety Name: VARIETY NAME OR GERMPLASM DESIGNATION Breeds
<input checked="" type="checkbox"/> U 0034.92	Title: GENES ENCODING THE ENZYME DIACYLGLYCEROL ACYLTRANSFERASE
<input checked="" type="checkbox"/> U 0083.03	Title: T Patent No: 0,000,000 Serial: 00/000,000
<input checked="" type="checkbox"/> U 0240.98	Title: VACCINE AGAINST SWINE INFLUENZA VIRUS Patent No: 0,000,000
<input checked="" type="checkbox"/> U 0291.99	Title: CRYOPRESERVATION OF SWINE EMBRYOS Patent No: 0,000,000 S
<input type="checkbox"/> U 4004.91	Title: TAENIA ANTIGENS FOR USE AS IMMUNODIAGNOSTIC REAGENTS FOR

Create Pending License Create Active License Cancel Add License

Record: 4/6

In this instance, there is one Plant Docket and several Patent Dockets. Now mark the dockets that are to be licensed under this new license and create either a Pending License or an Active License. In the first example, we will create a Pending License. The subsequent sections will show how to change a Pending into an Active License and how to maintain Active License information.

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Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Forms Prints Help

ARIS License [000781] [511] Group Description [GENERATED ID - DOCKET NO] License Status [Pending]

List License Companies Pending Comments Signature

License No [000781] [511] In License? ☐ Issue Date [ ] Expiration Date [ ]

Inventions

Docket No	Description
<input checked="" type="checkbox"/> U 0034.92	GENES ENCODING THE ENZYME DIACYLGLYCEROL ACYLTRANSFERASE
<input checked="" type="checkbox"/> U 0240.98	VACCINE AGAINST SWINE INFLUENZA VIRUS

Revise List View Other Licenses

Type Of License [ ] No. of Co Exclusive Licenses [ ]

Fields Of Use [ ] Territories [ ] [ ] [ ] [ ] [ ]

License Status [Pending] License Status Date [07/21/2003]

License Status Comments [ ]

Record: 1/1

The selection of the TT ID and the creation of a pending license has populated the data as shown above. We must now enter additional information on the type of license, the license company, and the pending license information.

## Main Detail Screen

The main screen displays information on all the inventions that are part of the TT ID invention group and were selected to be part of this license during the add process as just described. The user may then enter or modify the additional license information such as the Type of License and License Status Comments.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Forms Prints Help

**License Records**

License: 000781 | 511 | Group Description: GENERATED ID - DOCKET NO | License Status: Pending

List | License | Companies | Pending | Comments | Signature

License No: 000781 | 511 | In License? ☐ | Issue Date: | Expiration Date: |

Inventions	Docket No	Description
<input type="checkbox"/>	U 0034.92	GENES ENCODING THE ENZYME DIACYLGLYCEROL ACYLTRANSFERASE
<input type="checkbox"/>	U 0240.98	VACCINE AGAINST SWINE INFLUENZA VIRUS

Revise List | View Other Licenses

Type Of License: Non-Exclusive | No. of Co Exclusive Licenses: |

Fields of Use: | Territories: |

License Status: Pending | License Status Date: 07/21/2003

License Status Comments: Pending started 7/15

Record: 1/1

The screen printout below shows the values for Type Of License. If this license were Exclusive by Fields of Use, the user must enter a textual description of the fields of use. If the license is Exclusive by Territories, then select the patent country group codes from the available List of Values in the Territories block.

Oracle Forms Runtime  
Agricultural Research Information System (ARIS)

File Edit Action Record Reference Tables Forms Prints Help

**License Records**

License: | | Group Description: | | License Status: |

List | License | Companies | Pending | Fee Info | Diligence | Comments | Income | Disbursements | Reimbursements | In |

License No: | | In License? ☐ | Issue Date: | Expiration Date: |

Inventions	Docket No	Description	CRADA
<input type="checkbox"/>			<input type="checkbox"/>
<input type="checkbox"/>			<input type="checkbox"/>

Type Of License: Exclusive | No. of Co Exclusive Licenses: |

Exclusive by Fields of Use: Co-Exclusive | Limited Exclusive (Fields of Use) | Limited Exclusive (Territory) | Non-Exclusive

License Status: | License Status Date: |

License Status Comments: |

Record: 1/1



There are two helpful features provided for maintaining the license data: Revise List and View Other Licenses.

## Revise List

Selecting <Revise List> will redisplay the TT ID group information and allow the user to mark additional patents or remove patents from the license. In this example, selecting <Revise List> would display:

It marks the Dockets that are currently attached to this license. To add a new Docket to this license, simply check the box next to the desired patent (in this example, we will add the Plant Docket 16.03). Then select <Save>.

The docket added will now show on the main screen.

## View Other Licenses

This feature provides a quick look-up for all other licenses that have the selected docket number referenced. It is to help ensure that duplicate licenses do not get entered for the referenced docket.

**Oracle Developer Forms Runtime - Web**

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Forms Prints Help

**License Records**

License: 000781 511 Group Description: GENERATED ID - DOCKET NO License Status: Pending

List License Companies Pending Comments Signature

**Licenses for Selected Docket**

**Existing Licenses**

Docket No: P 0016.03 Desc: Plant Variety Name: VARIETY NAME OR GERMPLASM DESIGNATION Breeder:

License No	Type	License Status	Company Name
000001 501		Pending	
000001 503		Pending	
000781 503	Limited exclusive (fields)	Licensed	BAYER ANIMAL HEALTH
000781 504		Licensed	
000781 505	Limited exclusive (fields)	Licensed	ACADEMIC CATALYST CORPORATION
000781 505	Limited exclusive (fields)	Licensed	BACTEC CORPORATION

Close

License Status Comments

## Companies Screen

Previously, the user could only enter one License Company for a license. This was inadequate since often licenses may be transferred to another licensee or extended to an affiliate. There may also be companies that are included as sublicensees. This screen allows the user to enter multiple License Companies and identify the type (Current Licensee, Original Licensee, Affiliate, or Sublicensee). For each license company, the user can enter contact information for two points of contact. As the user scrolls the list of companies, the list of contacts will automatically update to show the data for the license company selected on the list. To add a new company, select <Add Company> which displays the pop-up shown on the next page.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Forms Prints Help

ARIS

License 000781 511 Group Description GENERATED ID - DOCKET NO License Status Pending

List License Companies Pending Comments Signature

License Companies

Company Name	Type	Active	Conv. Billing

Add Company Modify Company Info Delete Company

Company/Contact Info

Small Business ☐ Minority Owned ☐ Rural Business ☐

Contact Info

Primary (Last,First,Middle,Suffix)

Title

Address


City  State  Postal Code  Country

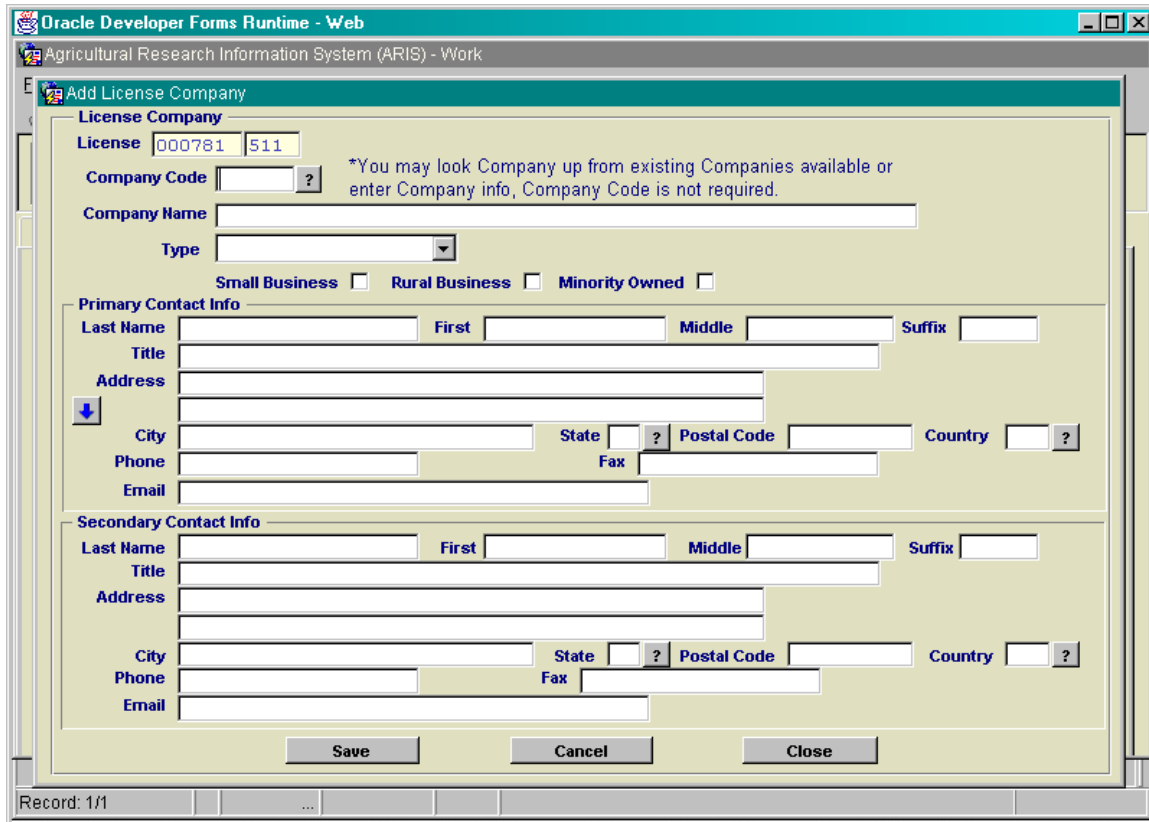
Phone  Fax  Email

Secondary Contact

Record: 1/1

## Adding a Company


When the user selects 'Add Company' from the main tab, the following pop-up will appear. The user may directly enter all company information. If this is a license company that has been previously entered on another license, the user may use the list of values available to select and default in information about the company. This information may be modified for this particular license. In this example, we will use the List of Values by selecting the  button next to Company Code.



Note: This is a large pop-up, if you do not see the Save, Cancel and Close buttons; you will need to move the window to allow you to access these buttons. It may be helpful to hide your windows toolbar while working in this application if you find that the size of your display is an issue.

This example shows the list of values feature. The user may type several letters in which will automatically scroll the list to companies whose name matches the string they have entered. Select the company and click <OK>.

Company Name	Address	City	State	Postal Code
G-AND-P MANUFACTUR...	P.O. BOX 176	CHATHAM	MI	38731-0000
G.B.HUTCHINSON	410 THOMPSON STREET	PORT JEFFERSON	NY	11777-0000
G.W.BECKWAY	1376 ST. JOHNS AVENUE	HIGHLAND PARK	IL	60035-0000
GALAGEN INC. ....5516...	1275 RED FOX ROAD MS-7420 (P.O.BOX 643...	ARDEN HILLS	MN	55112-6943
GARZA AGRO CHEM LTD	21064 S MOSSYROCK	OREGON CITY	OR	97045-0000
GENESPAN CORPORATI...	PRESIDENT AND CEO 14720 N.E. 8...	REDMOND	WA	98052-0000
GENETICS & IVF INSTITUTE	3020 JAVIER ROAD	FAIRFAX	VA	22031-0000
GLENDORA FARMS	P.O. BOX 6153	SAN MATEO	CA	94403-0000
GLYKO INC.	11 Pimentel Court	Novato	CA	94949-0000
GLYKO, INC.	11 Pimentel Court	Novato	CA	94949-0000
GOLDEN RULE CONSTR...	27600 HIGHWAY 212	P.O. BOX 447 BORING	OR	97009-0000
GRAIN BIOTECH AUSTR...	5/10 Whipple Street	+618 9240 2... Balcatta Western	AU	60210-0000

Information for the company will be returned into the Add License Company screen and may then be tailored for this license. The  button is provided as a convenience for copying the Primary Contact Address information to the Secondary Contact Info block.

**License Company**

License: 000781 511

Company Code: 000061 ? \*You may look Company up from existing Companies available or enter Company info, Company Code is not required.

Company Name: GENETICS & IVF INSTITUTE

Type:

Small Business ☐ Rural Business ☐ Minority Owned ☐

**Primary Contact Info**

Last Name:  First:  Middle:  Suffix:

Title:

Address: 3020 JAVIER ROAD

City: FAIRFAX State: VA ? Postal Code: 22031-0000 Country: US ?

Phone:  Fax:

Email:

**Secondary Contact Info**

Last Name:  First:  Middle:  Suffix:

Title:

Address:

City:  State: ? Postal Code:  Country: ?

Phone:  Fax:

Email:

The user must specify the type of company. For new licenses, the type of company will normally be 'Current Licensee'. The other available values are: Affiliate, Sublicensee, and Original Licensee. Original Licensee is used when a company transfers its license rights to another company. The new company becomes the 'Current Licensee' and the old company becomes the 'Original Licensee'. This is to ensure that data about the original licensee (such as if they were a small or minority owned business) is maintained for reporting purposes.

The example below has been completely filled out. This company is the current licensee (or in the case of a pending license, is expected to be the current licensee). If the company is currently Small Business, Rural Business or Minority Owned, the appropriate checkboxes should be marked to indicate its status. Select <Save> to save the entry and return to the main tab.

The main tab will now display the company information. To modify the company's information, select the company on the list and choose <Modify Company Info>.

## Pending Screen

If the license created has a license status of Pending, this tab page will become displayed and be available for data entry. It allows assignment to an ARS Case Manager, and capture of Critical Date and Federal Register Notice information. It maintains the Pending Application Time Clock based on the dates entered. The rules for the Pending Application Time Clock are as follows:


- Complete App to Issue Date is calculated as the number of days between the Complete Application Date and the License Issue Date.
- Obj Days Held is calculated if there is a Notice Of Intent Expiration date. If Objections Received is checked, the application will use the Objections Resolved Date (or the current date if blank) and calculate the Obj Days Held as the number of days between the Objections Resolved and the Notice of Intent Expiration.
- Neg Days Held is calculated if the Case Reactivated Date is not null. It is calculated as the days between Case Reactivated and Negotiation On Hold date.
- App Pending Days is the Complete App to Issue Date minus Obj Days Held minus Neg Days Held.

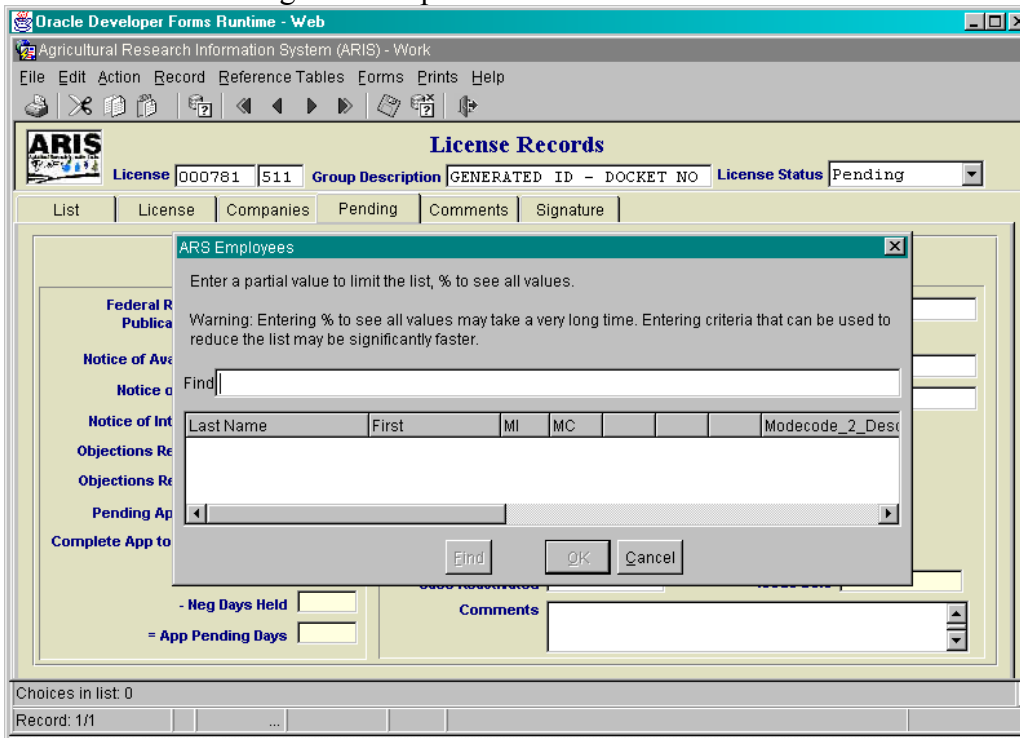
If there is an option associated with the pending license, that information can be entered by selecting the <Option Info> button.

The screenshot shows the 'License Records' form in the 'Pending' tab. The form is titled 'Agricultural Research Information System (ARIS) License Records'. It includes a menu bar (File, Edit, Action, Record, Reference Tables, Forms, Prints, Help) and a toolbar. The main area contains several sections:

- Case Manager:** A field for 'Name (Last, First, MI, Suffix)' with a search icon.
- Federal Register Notice Publication Dates:** Fields for 'Notice of Availability', 'Notice of Intent', 'Notice of Intent Exp', 'Objections Received' (checkbox), and 'Objections Resolved'.
- Pending Application Time Clock:** Fields for 'Complete App to Issue Date', '- Obj Days Held', '- Neg Days Held', and '= App Pending Days'.
- Critical Dates:** Fields for 'Application Received', 'Assigned To Case Mgr', 'License App On Hold ?' (Yes/No radio buttons), 'Application On Hold', 'Complete Application', 'Date FR Notice Sent', 'First Draft License Sent', 'First Response Recd', 'Negot On Hold?' (Yes/No radio buttons), 'Negotiation On Hold', 'Option Signed', 'License Origs Sent', 'Case Reactivated', and 'Issue Date'.
- Comments:** A text area for additional information.
- Option Info:** A button to view or enter option information.

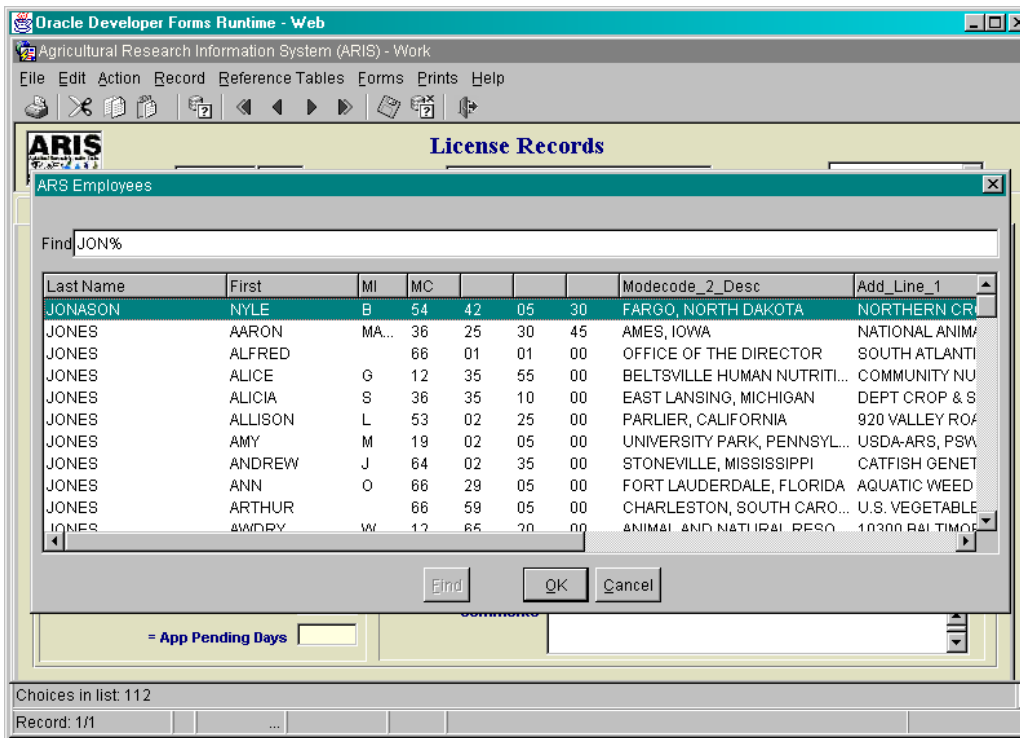
The status bar at the bottom indicates 'Record: 1/1'.

To assign this license to a Case Manager, select the List of Values button  .  
The following will display, which allows the user to enter the first few letters of the last name before retrieving from the personnel file.



The screenshot shows the 'License Records' form in the ARIS system. The 'License' field contains '000781' and '511'. The 'Group Description' is 'GENERATED ID - DOCKET NO'. The 'License Status' is 'Pending'. The 'ARS Employees' dialog box is open, prompting the user to enter a partial value to limit the list. The dialog box includes a 'Find' field and a table with columns: Last Name, First, MI, MC, and Modecode\_2\_Desc. The 'Find' field is empty, and the table is currently empty.

Enter the first few letters and select <OK>.



The screenshot shows the 'License Records' form with the 'ARS Employees' dialog box open. The 'Find' field now contains 'JON%'. The table displays a list of employees with the following data:

Last Name	First	MI	MC				Modecode_2_Desc	Add_Line_1
JONASON	NYLE	B	54	42	05	30	FARGO, NORTH DAKOTA	NORTHERN CR
JONES	AARON	MA...	36	25	30	45	AMES, IOWA	NATIONAL ANIM
JONES	ALFRED		66	01	01	00	OFFICE OF THE DIRECTOR	SOUTH ATLANT
JONES	ALICE	G	12	35	55	00	BELTSVILLE HUMAN NUTRITI...	COMMUNITY NU
JONES	ALICIA	S	36	35	10	00	EAST LANSING, MICHIGAN	DEPT CROP & S
JONES	ALLISON	L	53	02	25	00	PARLIER, CALIFORNIA	920 VALLEY ROA
JONES	AMY	M	19	02	05	00	UNIVERSITY PARK, PENNSYLA...	USDA-ARS, PSW
JONES	ANDREW	J	64	02	35	00	STONEVILLE, MISSISSIPPI	CATFISH GENET
JONES	ANN	O	66	29	05	00	FORT LAUDERDALE, FLORIDA	AQUATIC WEED
JONES	ARTHUR		66	59	05	00	CHARLESTON, SOUTH CARO...	U.S. VEGETABLE
JONES	ANDREW	W	12	65	20	00	ANIMAL AND NATURAL RESO...	10300 R&I TIMO

The 'Find' field is 'JON%'. The 'ARS Employees' dialog box is open, and the table displays a list of employees. The 'Find' field is 'JON%'. The table displays a list of employees. The 'Find' field is 'JON%'. The table displays a list of employees.

Highlight the desired name and select <OK>.



This example has more information filled in.

**Oracle Developer Forms Runtime - Web**  
Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Forms Prints Help

**License Records**

License: 000781 511 Group Description: GENERATED ID - DOCKET NO License Status: Pending

List License Companies Pending Comments Signature

Name (Last, First, MI, Suffix)  
Case Manager: JONES ALICE G ?

**Federal Register Notice Publication Dates**

Notice of Availability: 07/20/2003  
Notice of Intent: 07/21/2003  
Notice of Intent Exp:   
Objections Received:   
Objections Resolved:   
Pending Application Time Clock  
Complete App to Issue Date Days:   
- Obj Days Held:   
- Neg Days Held:   
= App Pending Days:

**Critical Dates**

Application Received: 07/15/2003 Assigned To Case Mgr: 07/21/2003  
License App On Hold? Yes ☐ No ☒  
Application On Hold: Complete Application:   
Date FR Notice Sent: First Draft License Sent:   
First Response Recd:   
Negot On Hold? Yes ☐ No ☒  
Negotiation On Hold:   
Option Signed: 07/21/2003 Option Info:   
License Origs Sent:   
Case Reactivated: Issue Date:   
Comments:

FRM-40400: Transaction complete: 1 records applied and saved.  
Record: 1/1

## Option Info

To enter data specific to an option, select <Option Info>. The following will display. The option screen allows the user to enter information related to the option such as effective date, expiration date, whether the option is renewable, and any diligence requirements. The user may also maintain report and payment information. The License Company entered in the License Company screen is the company that holds the option.

**Oracle Developer Forms Runtime - Web**  
Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Forms Prints Help

**License Records**

Option Info

License No: 000781 511

Option Info  
Option Renewable: ☐ Patent Cost Reimbursement: ☐  
Effective Date: Expiration Date: Termination Date:   
Diligence Requirements:

**Report/Payments**

Rpt Due Date	Rpt Recd Date	Paymnt Due Date	Payment Amt	Paymnt Recd Date

Add Report/Payment Delete Report/Payment

Save Cancel Close

Record: 1/1

Comment Screen

The user may enter general License Comments and Resulting Product information on the Comments tab. This applies to all licenses regardless of their current license status.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Forms Prints Help

ARIS License 000781 511 Group Description GENERATED ID - DOCKET NO License Status Pending

List License Companies Pending Comments Signature

License Comments

Resulting Products

Record: 1/1

## Active Licenses

A license will typically be entered as a Pending License first. To change the status of a pending license to an active license, go to the Main Detail Screen for the Pending License.

The screenshot shows the 'License Records' form in the ARIS system. The 'License' field contains '000781' and '511'. The 'Group Description' is 'GENERATED ID - DOCKET NO'. The 'License Status' is set to 'Pending'. The 'Inventions' table lists two items: '0034.92 GENES ENCODING THE ENZYME DIACYLGLYCEROL ACYLTRANSFERASE' and '0240.98 VACCINE AGAINST SWINE INFLUENZA VIRUS'. The 'Type Of License' is 'Non-Exclusive'. The 'License Status Date' is '07/21/2003'. The 'License Status Comments' are 'Pending started 7/15'.

Enter the Issue Date, change the License Status to 'Licensed', and update the License Status Date. Then save the changes. *The license number will automatically update to the next available sequence for the TT ID based on the current active licenses.* Therefore, the user will no longer recall this license using TT ID 000781, License Number 511. The following shows the screen after issuing the license and updating the license status.

The screenshot shows the 'License Records' form after the license has been issued. The 'License' field now contains '000781' and '004'. The 'License Status' is set to 'Licensed'. The 'Issue Date' is '07/21/2003'. The 'License Status Date' is '07/21/2003'. The 'License Status Comments' are 'Pending started 7/15'. The 'Inventions' table remains the same. The status bar at the bottom indicates 'FRM-40400: Transaction complete: 1 records applied and saved.'

As can be seen here, the license number is now 004, which was the next available.

The following sections address the additional data entry screens available once the license is active.

## Fee Information Screen

This tab screen is used to capture fee information on issuing, annual fees, royalties, and patent cost reimbursement. Annual Fees may change from calendar year (CY) to calendar year. This info will be used by license personnel when entering income due records. Royalty Rate may be Fixed or Variable. A 'tickler' function is available to enter a 'due date' (Tickler Date) and a description of the item due (Tickler Description). If the Patent Costs are reimbursable, check the appropriate boxes in the Patent Cost Reimbursable box.

The screenshot shows the 'License Records' form in the ARIS system. The form is titled 'License Records' and has a menu bar with 'File', 'Edit', 'Action', 'Record', 'Reference Tables', 'Forms', 'Prints', and 'Help'. Below the menu bar is a toolbar with various icons. The form itself has a header section with 'License' (000781), 'Group Description' (GENERATED ID - DOCKET NO), and 'License Status' (Licensed). Below the header is a tabbed interface with tabs for 'List', 'License', 'Companies', 'Pending', 'Fee Info', 'Diligence', 'Comments', 'Income', 'Disburse', 'Reimburse', and 'Signature'. The 'Fee Info' tab is currently selected. The form is divided into several sections: 'Issue/Execution Fee' (with a text input field), 'Royalty Info' (with fields for 'Royalty Base', 'Royalty Rate', 'Percent Rate', 'Rate Per Unit Sales', 'Royalty Report Due Date(s)', and a 'Comments' text area), 'Annual Fees' (a table with columns 'CY' and 'Annual Fee'), 'Patent Cost Reimbursable' (with checkboxes for 'US Prosecution Costs', 'US Maintenance Fees', and 'International Expenses'), and 'License Income' (with fields for 'Current FY', 'Prior FY', and 'Cumulative'). At the bottom of the form are fields for 'Progress Rpt Due Date', 'Tickler Date', 'Tickler Description', and 'Date Most Recent Rcvd'. The status bar at the bottom indicates 'Record: 1/1'.

Diligence Screen

This tab page presents both Commercial Target info and Milestone info. For Commercial Targets, the user may identify a target date, describe the target, identify any associated Product Name and capture the date of first. For Milestone info, the user may enter a milestone description, the date met, and the payment amount.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Forms Prints Help

ARIS License Records

License 000781 004 Group Description GENERATED ID - DOCKET NO License Status Licensed

List License Companies Pending Fee Info Diligence Comments Income Disburse Reimburse Signature

Commercial Targets

Target Date	Target Description	Product Name	Date Of First Sale

Add Target Delete Target

Milestones

Milestone	Date Met	Payment Amount

Add Milestone Delete Milestone

Record: 1/1

## Adding Commercial Targets

To add a commercial target, select the <Add Target> button. The highlight color will change in the commercial target block to indicate the list is now in Add mode. The user may enter as many records as they wish and then select save on the toolbar. To delete a record, simply highlight it and select <Delete Target>.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Forms Prints Help

ARIS License Records

License: 000781 004 Group Description: GENERATED ID - DOCKET NO License Status: Licensed

List License Companies Pending Fee Info Diligence Comments Income Disburse Reimburse Signature

**Commercial Targets**

Target Date	Target Description	Product Name	Date Of First Sale
07/15/2003	Target Desc 1	Name	8/1/2003

Add Target Delete Target

**Milestones**

Milestone	Date Met	Payment Amount

Add Milestone Delete Milestone

Record: 1/1

## Adding Milestones

To add a milestone, select the <Add Milestone> button. The highlight color will change in the Milestones block to indicate the list is now in Add mode. The user may enter as many records as they wish and then select save. To delete a record, simply highlight it and select <Delete Milestone>.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Forms Prints Help

ARIS License Records

License: 000781 004 Group Description: GENERATED ID - DOCKET NO License Status: Licensed

List License Companies Pending Fee Info Diligence Comments Income Disburse Reimburse Signature

**Commercial Targets**

Target Date	Target Description	Product Name	Date Of First Sale
07/15/2003	Target Desc 1	Name	08/01/2003

Add Target Delete Target

**Milestones**

Milestone	Date Met	Payment Amount
Milestone Number 1	07/21/2003	\$500.00

Add Milestone Delete Milestone

Record: 1/1

## Income Screen

The Income tab screen has two major functions:

- Track amounts and dates for items that are due.
- Track amounts and dates for items that have been received.

*Entering and viewing income data is restricted to certain users. If the user does not see the income tab screen available, then they are not authorized to review or enter financial information.*

There are different types of income, as shown in the example below; the income may be an Issue Fee, an Annual Fee, a Patent Cost Reimbursement payment, a Royalty payment or a Milestone payment. The type 'Income' was used to tag all historical data and is not intended to be used for new records where the distinct type can be specified.

*Note: Patent Cost Reimbursement payments should be entered on the 'Reimburse' tab screen. Once they are received, they will automatically show up on the income screen. Do not double enter the received payment.*

This screen also provides the capability to sort records by each column, mark records and calculate the total amounts received for the marked records. The buttons on the columns sort the data in ascending/descending order (alternating) for the column selected. The user may mark all income records easily by clicking the ☒ button, or the user can manually check the boxes next to the records they wish to total. Once the desired records have been marked, select the <Calculate Total> button and the total will display in the field provided.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Forms Prints Help

ARIS License Records

License: 000781 006 Group Description: GENERATED ID - DOCKET NO License Status: Licensed

List License Companies Fee Info Diligence Comments Income Disburse Reimburse Signature

FY	Income Type	Amount Due	Date Due	Amount Rec'd	Date Rec'd
	Income				
	Execution Fee				
	Annual Fee				
	Patent Cost Reimbursements				
	Royalties				
	Milestone Payments				

Total: \$ .00 Calculate Total ☒

Comments

Add License Income Delete License Income

Record: 1/1

To Add License Income, select <Add License Income>. This will default in the current FY and put the list in Add mode as shown below. The user may continue to scroll down the list and enter as many income records as they wish before they choose to save. When finished, select the save icon on the toolbar. To delete a record, highlight the record on the list and select <Delete License Income>.

An example is shown below. The comments displayed are for the selected record.

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## Disbursements Screen

Income received must be disbursed to inventors and a specified amount sent to the Patent Revenue Account (PRA). The FMD (Financial Management Division) must be sent disbursement instructions and then they send the disbursement to NFC (National Financial Center). All ARS Inventors on any patent associated with the license is due a share of the income received. The top block will list each payment received and the overall disbursement to the PRA account and the total disbursed to all inventors. The Inventor Disbursement block shows how the total disbursement to inventors was allocated among all eligible inventors.

*Entering and viewing disbursement data is restricted to certain users. If the user does not see the disbursement tab screen available, then they are not authorized to review or enter financial information.*

## Adding a Disbursement

When income is received, click the <Add Disbursement> button enter the information on the amount received and disbursed. This will default in the FY and put the list in Add Mode. The user may enter as many records as they wish while in Add mode by scrolling down the list. When finished, select Save. To delete a disbursement record, highlight the correct record and select <Delete Disbursement>.

The screenshot shows the 'License Records' form in the Oracle Developer Forms Runtime - Web environment. The form has a menu bar with 'File', 'Edit', 'Action', 'Record', 'Reference Tables', 'Forms', 'Prints', and 'Help'. Below the menu is a toolbar with various icons. The main form area is titled 'License Records' and contains several tabs: 'List', 'License', 'Companies', 'Pending', 'Fee Info', 'Diligence', 'Comments', 'Income', 'Disburse', 'Reimburse', and 'Signature'. The 'Disburse' tab is currently selected. The form displays a table with the following columns: 'FY', 'Amount Rec'd', 'Date Rec'd', 'Amount Disb to Inv', 'Amount to PRA', 'Date Sent to FMD', and 'Date Sent to NFC'. The first row of the table has the value '2003' in the 'FY' column. Below the table is a 'Comments for Selected Record' field. At the bottom of the form, there are three buttons: 'Add Disbursement', 'Build Inventor Disbursement List', and 'Delete Disbursement'. Below these buttons is a section titled 'Inventions/Inventor Disbursements' which contains a table with columns: 'Docket No', 'Inventor (Last,First,MI,Suffix)', 'Agency/Org', and 'Disbursed Amt'. The table has three rows, with the first row containing a question mark in the 'Inventor' column. Below this table are two buttons: 'Add Inventor Manually' and 'Delete Inventor Disbursement'. The status bar at the bottom of the window shows 'Record: 1/1'.

When entering a disbursement, enter the amount received and the date, enter the amount disbursed to all inventors, and the amount to PRA will automatically calculate as the difference between the amount received and the amount disbursed to all inventors. Then enter the dates sent to FMD and NFC.

In this example, OTT has received a \$20,000 payment and is going to disburse \$10,000 to the eligible inventors.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Reference Tables Forms Prints Help

**License Records**  
License: 000781 004 Group Description: GENERATED ID - DOCKET NO License Status: Licensed

List License Companies Pending Fee Info Diligence Comments Income Disburse Reimburse Signature

FY	Amount Rec'd	Date Rec'd	Amount Disb to Inv	Amount to PRA	Date Sent to FMD	Date Sent to NFC
2003	\$20,000.00	07/21/2003	\$10,000.00	\$10,000.00	07/23/2003	7/23/2003

Comments for Selected Record

Add Disbursement Build Inventor Disbursement List Delete Disbursement

Inventions/Inventor Disbursements

Doctet No	Inventor (Last,First,M,Suffix)	Agency/Org	Disbursed Amt

Add Inventor Manually Delete Inventor Disbursement

Record: 1/1

## Disbursing Funds to Eligible Inventors

Eligible inventors are any ARS employees (former or current) that are assigned under the patent inventions that were licensed as a part of this license. To aide in capturing the disbursement data, the function 'Build Inventor Disbursement List' is available. Select a disbursement record and then click the <Build Inventor Disbursement List> button. This will bring in all ARS inventors from the associated invention records as shown in this example.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Reference Tables Forms Prints Help

**License Records**  
License: 000781 004 Group Description: GENERATED ID - DOCKET NO License Status: Licensed

List License Companies Pending Fee Info Diligence Comments Income Disburse Reimburse Signature

FY	Amount Rec'd	Date Rec'd	Amount Disb to Inv	Amount to PRA	Date Sent to FMD	Date Sent to NFC
2003	\$20,000.00	07/21/2003	\$10,000.00	\$10,000.00	07/23/2003	07/23/2003

Comments for Selected Record

Add Disbursement Build Inventor Disbursement List Delete Disbursement

Inventions/Inventor Disbursements

Doctet No	Inventor (Last,First,M,Suffix)	Agency/Org	Disbursed Amt
0034.92	WILSON RICHARD F	ARS	\$ .00
0034.92	KWANYUEN PRACHUAE	ARS	\$ .00

Add Inventor Manually Delete Inventor Disbursement


Record: 1/2

It is a manual review process to determine if this is the correct and complete list. The user may delete those inventors who are not to receive any income by selecting the record and clicking <Delete Inventor Disbursement>. If an inventor is missing, he should ideally be added on the Patent record and then he will display here when building the list. However, there is a manually feature to add an ARS employee as an inventor to receive disbursement.

*Inventors are currently limited to receiving \$150,000 per calendar year in disbursements. There is a check in the application if the disbursement being entered makes the inventor's total exceed the limit. The user is then given the opportunity to reduce the disbursement. The error message will inform the user of the total funds received thus far this calendar year and the difference the inventor is eligible to receive.*

## Adding an Inventor Manually

To add an additional inventor to the example shown above, select <Add Inventor Manually>. This will display the following.

This will put the inventor disbursement list in Add mode and enable the List of Values button  to be used to select an ARS employee. The user must manually enter the Docket Number that this inventor is being disbursed to under.

Selecting the list of values will display:

The screenshot shows the 'ARS Employees' dialog box with the following text:

Enter a partial value to limit the list, % to see all values.

Warning: Entering % to see all values may take a very long time. Entering criteria that can be used to reduce the list may be significantly faster.

Find

Last Name First MI MC Modecode\_2\_Desc

Buttons: Find, OK, Cancel

Background window: License Records

License: 000781 004 Group Description: GENERATED ID - DOCKET NO License Status: Licensed

Buttons: List, License, Companies, Pending, Fee Info, Diligence, Comments, Income, Disburse, Reimburse, Signature

ARS Employees

2003 \$20

Comments for Se

Add

Inventions/Inv

Docket No

U 0034.92

U 0034.92 KINARD

U 0034.92

Buttons: Add Inventor Manually, Delete Inventor Disbursement

Choices in list: 0

Record: 3/3

This will allow the user to enter the first few letters of the employee's last name. All employees will be shown, including employees that have left the agency.

The screenshot shows the 'ARS Employees' dialog box with the following data:

Find: KIN%

Last Name	First	MI	MC			Modecode_2_Desc	Add_Line_1
KINARD	CARLTON	E	12	25	30	00	FACILITIES MANAGEMENT AN... 10300 BALTI
KINARD	GARY	R	12	75	11	00	PLANT SCIENCES INSTITUTE 10300 BALTI
KINARD	TEMISHA	D	82	20	25	00	PUBLIC SERVICES DIVISION 10301 BALTI
KINCAID	CHRISTOPHER	E	19	30	05	00	LEETOWN, WEST VIRGINIA
KINCAID	DAVID	R	40	00	00	00	INTERNATIO
KINCAID	DENNIS	C	53	68	20	00	KIMBERLY, IDAHO USDA-ARS N
KINCAID	TODD	M	36	11	25	00	URBANA, ILLINOIS UNIV. OF ILL
KINCAID III	ANDREW	J	19	32	05	00	BEAVER, WEST VIRGINIA USDA, ARS, I
KINDIGER	BRYAN	K	62	18	05	10	EL RENO, OKLAHOMA
KINDLER	DEAN		62	17	05	10	STILLWATER, OKLAHOMA USDA/ARS P
KING	ALEXANDER	P	12	30	15	00	NATIONAL ARBORETUM (WA... U.S. NATION
KING	ANGELA	R	54	40	20	00	LINCOLN, NEBRASKA WHEAT, SOR
KING	BONNIE	MA...	54	01	10	00	OFFICE OF THE DIRECTOR 1201 OAKRIC

Buttons: Find, OK, Cancel

Buttons: Add Inventor Manually, Delete Inventor Disbursement

Choices in list: 71

Record: 3/3

Select the appropriate employee and then select <OK>.

This will return the employee to the inventor list as shown here:

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Reference Tables Forms Prints Help

**License Records**  
License 000781 004 Group Description GENERATED ID - DOCKET NO License Status Licensed

List License Companies Pending Fee Info Diligence Comments Income Disburse Reimburse Signature

FY	Amount Rec'd	Date Rec'd	Amount Disb to Inv	Amount to PRA	Date Sent to FMD	Date Sent to NFC
2003	\$20,000.00	07/21/2003	\$10,000.00	\$10,000.00	07/23/2003	07/23/2003

Comments for Selected Record

Add Disbursement Build Inventor Disbursement List Delete Disbursement

**Inventions/Inventor Disbursements**

Docket No	Inventor (Last,First,Mi,Suffix)	Agency/Org	Disbursed Amt
U 0034.92	WILSON RICHARD F	ARS	\$0.00
U 0034.92	KWANYUEN PRACHUAE	ARS	\$0.00
U 0034.92	KING ALEXANDE P	ARS	\$0.00

Add Inventor Manually Delete Inventor Disbursement

Record: 3/3

Now enter the amount disbursed to each inventor which should total the amount distributed to all inventors.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Reference Tables Forms Prints Help

**License Records**  
License 000781 004 Group Description GENERATED ID - DOCKET NO License Status Licensed

List License Companies Pending Fee Info Diligence Comments Income Disburse Reimburse Signature

FY	Amount Rec'd	Date Rec'd	Amount Disb to Inv	Amount to PRA	Date Sent to FMD	Date Sent to NFC
2003	\$20,000.00	07/21/2003	\$10,000.00	\$10,000.00	07/23/2003	07/23/2003

Comments for Selected Record

Add Disbursement Build Inventor Disbursement List Delete Disbursement

**Inventions/Inventor Disbursements**

Docket No	Inventor (Last,First,Mi,Suffix)	Agency/Org	Disbursed Amt
U 0034.92	WILSON RICHARD F	ARS	\$4,000.00
U 0034.92	KWANYUEN PRACHUAE	ARS	\$3,000.00
U 0034.92	KING ALEXANDE P	ARS	\$3,000.00

Add Inventor Manually Delete Inventor Disbursement

Record: 1/3

Then select the Save option on the toolbar.

## Patent Cost Reimbursements

This tab screen is used to track Patent Cost Reimbursements that are due and when they are received. Patent Cost Reimbursement payments are a type of income. *The system will automatically create a corresponding income record to reflect the amount received.*

*Entering and viewing Patent Cost Reimbursement data is restricted to certain users. If the user does not see the Reimburse tab screen available, then they are not authorized to review or enter financial information.*

The actual Prosecution costs for US and Foreign Filing Expenses are tracked against the invention on the Invention Subsystem. The user will be able to quickly review those costs through two pop-up screens on this tab page. Selecting <US Prosecution Fees> will display the Status/Fee records from the Invention Subsystem for the Docket Number selected on the list. Selecting <Foreign Filing Expenses> will display the Foreign Filing Expense records from the Invention Subsystem for the Docket Number selected on the list.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Work

File Edit Action Record Reference Tables Forms Prints Help

ARIS

License 000781 004 Group Description GENERATED ID - DOCKET NO License Status Licensed

List License Companies Pending Fee Info Diligence Comments Income Disburse Reimburse Signature

Reimbursements

Docket No	Date Bill Sent	Amount Due	Date Due	Amount Rec'd	Date Rec'd	Comments
?						
?						
?						
?						
?						
?						
?						
?						
?						
?						

Add Reimbursement Delete Reimbursement

US Prosecution Fees Foreign Filing Expenses

Record: 1/1

To add a Reimbursement record, select <Add Reimbursement>.

The screenshot shows the 'License Records' form in the ARIS system. The 'License' field is set to '000781' and '004'. The 'Group Description' is 'GENERATED ID - DOCKET NO'. The 'License Status' is 'Licensed'. The 'Reimbursements' table is empty. A dialog box titled 'Dockets for this License' is open, showing a list of docket numbers: 'U 0034.92' and 'U 0240.98'. The 'Find' field contains 'U%'. The 'Add Reimbursement' button is highlighted.

Docket No	Date Bill Sent	Rec'd	Date Rec'd	Comments
?				
?				
?				
?				
?				
?				
?				
?				
?				
?				

The highlight color will change to indicate the list is in 'Add' mode. The user must select the patent that the reimbursable is due for. To select a Docket Number, click the List of Values button **?** and a list of all Docket Numbers assigned under this license will be displayed as shown in the example above. Select the correct Docket No and then click <OK>.

The screenshot shows the 'License Records' form in the ARIS system. The 'License' field is set to '000781' and '004'. The 'Group Description' is 'GENERATED ID - DOCKET NO'. The 'License Status' is 'Licensed'. The 'Reimbursements' table is populated with data. The 'Add Reimbursement' button is highlighted.

Docket No	Date Bill Sent	Amount Due	Date Due	Amount Rec'd	Date Rec'd	Comments
U 0240.98	?	07/01/2003	\$1,200.00	07/31/2003		
?						
?						
?						
?						
?						
?						
?						
?						
?						

Enter the date the bill was sent, the amount due, the Date Due and any comments. Then select Save on the toolbar. When the payment is received, update the amount and date received.

### View US Prosecution Fees

This pop-up will show all US status/prosecution fee records for the docket number selected on the list. It is for viewing only.

The screenshot shows the 'View US Prosecution Fees' window within the ARIS (Agricultural Research Information System) interface. The window title is 'Oracle Developer Forms Runtime - Web'. The main menu bar includes 'File', 'Edit', 'Action', 'Record', 'Reference Tables', 'Forms', 'Prints', and 'Help'. The 'License Records' section is active, showing a 'License' field with '000781' and '004', and a 'License Status' dropdown set to 'Licensed'. Below this, the 'US Prosecution Status/Costs' section is displayed. It features a 'Docket No' field with '0240.98'. A table lists prosecution events with columns: Event, Status Date, Status, Amount, Due Date, Crit.FI, and Compl. Date. The table contains two rows: Event 1 with Status Date '01/04/2000' and Status 'Awaiting PTO Action' for \$0.00; and Event 4 with Status Date '01/04/2000' and Status 'Other Response to PTO Act' for \$0.00. Below the table, there is a 'Manually Calculated Prosecution Total' field, a 'Calculate Total' button, and a 'Close' button. The status bar at the bottom indicates 'Record: 1/2'.

Event	Status Date	Status	Amount	Due Date	Crit.FI	Compl. Date
1	01/04/2000	Awaiting PTO Action	\$0.00		<input type="checkbox"/>	
4	01/04/2000	Other Response to PTO Act	\$0.00		<input checked="" type="checkbox"/>	

### View Foreign Filing Expenses

This pop-up will show all Foreign Filing Expense records for the docket number selected on the list. It is for viewing only.

The screenshot shows the 'View Foreign Filing Expenses' window within the ARIS (Agricultural Research Information System) interface. The window title is 'Oracle Developer Forms Runtime - Web'. The main menu bar includes 'File', 'Edit', 'Action', 'Record', 'Reference Tables', 'Forms', 'Prints', and 'Help'. The 'License Records' section is active, showing a 'Foreign Filing Expense' sub-section. It features a 'Docket No' field. A table lists foreign filing expenses with columns: FY, Country, Invoice Date, and Amount. The table has multiple empty rows. Below the table, there is a 'Calculate Total' button and a 'Comments for Selected Record' text area. The status bar at the bottom indicates 'Record: 1/1'.

FY	Country	Invoice Date	Amount



## In-License Screen

If another agency is extending their licensing rights to USDA, the license is considered an in-license. The user may indicate it as an In-License by checking the In-License checkbox on the main screen.

The screenshot shows the 'Oracle Developer Forms Runtime - Web' window for the 'Agricultural Research Information System (ARIS) - Work'. The 'License Records' form is displayed with the 'In License' tab selected. The form includes fields for License No (000983), Group Description (GENERATED ID - DOCKET NO), License Status (Licensed), Issue Date (05/04/2003), and Expiration Date. A table lists inventions with Docket No (U 0333.99) and Description (PVP "JACINTO" RICE). Other fields include Type Of License (Co-Exclusive), No. of Co Exclusive Licenses, Fields Of Use, Territories, License Status (Licensed), License Status Date (05/09/2003), and License Status Comments (joint in license).

This will display an additional tab for a screen labeled In License.

The screenshot shows the 'Oracle Developer Forms Runtime - Web' window for the 'Agricultural Research Information System (ARIS) - Work'. The 'License Records' form is displayed with the 'In License' tab selected. The form includes fields for In License Terms: % Net Revenues Paid to Licensors, Net Revenue Definition, and Patent Expenses Paid By. Below these are the 'In License Reports/Payments' tables, which include columns for Report/Payment Due Date, Gross Revenues Amount, Net Revenue Amount, Amt Disbursed To Licensors, Amt To PRA, Date Sent to FMD, and Date Sent to NFC. Buttons for 'Add Record' and 'Delete Record' are at the bottom.

This screen allows the user to capture data specific to this in license including the net revenue rules to be applied when distributing license income and reports and payments that are due or sent to the originating organization.

## Signature Screen

Typically, the License Instruments Examiner will enter and approve the License. When the LIE approves it, they have a choice to approve it to NPPC for their review or approve it directly to the official (Active) file. Once approved to the Active File, it will be displayable within the Active forms within a few minutes.

To approve the invention, LIEs will enter their name, the approval date (which will default to the current date) and check the approve checkbox. Then click the <Approve License to NPPC> button. If all required information has been supplied, the license will move to the next level for NPPC's review. NPPC personnel will either enter their signature code or look it up with the available List of Values. They must also enter the approval date (which will default to the current date), check Approve, and select the <Approve License to Official> button.

**Oracle Forms Runtime**  
File Edit Action Record Reference Tables Forms Prints Help

**Agricultural Research Information System (ARIS)**

**License Records**

License  Group Description  License Status

Pending Fee Info Diligence Comments Income Disbursements Reimbursements In License **Signature**

Title	Name (Last, First, MI, Suffix)	Date	Approve	Disapprove
Legal Instruments Examiner	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
NPPC	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

Clear Signature Approve License to NPPC Approve License to Official

Record: 1/1



## 5. Reports

This section will briefly describe each report available within the system.

### ***Do Output - User Defined Reports***

Every form has a report option called 'Do Output'. Do Output is a special feature that lets the user select columns from the list 'view' and create either a column report (list), detail report (display) or ASCII file. If the output chosen is ASCII file, the user will additionally choose the separators to use, whether to include column headers and the file name the output is to go to.

The following example is off the Active Invention form. Do Output is included in every form in the Invention and License Subsystem. The following is provided as one example.

Query the desired records into the list screen. In this example, the user has queried all expired patents.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Active  
File Edit Action Record Forms Prints Help

**ARIS Inventions - Patent Dockets**

Docket: 0012.01 Serial: 00/000,000 Patent: 1,258,928 Patent Advisor: STOVER G

List Invention Inv(cont) Status/Event Disclosure Abstract Inventors Foreign Filing Signatures Patent Family

	Docket No	Serial No	Patent No	Most Recent Status
<input type="checkbox"/>	0012.01	00/000,000	1,258,928	Patent Expired
<input type="checkbox"/>	0021.87	05/194,161	3,775,230	Patent Expired
<input type="checkbox"/>	0159.87	05/456,911	3,935,099	Patent Expired
<input type="checkbox"/>	0226.87	05/515,262	3,979,286	Patent Expired
<input type="checkbox"/>	0240.87	05/528,454	3,932,674	Patent Expired
<input type="checkbox"/>	0262.87	05/554,058	3,949,145	Patent Expired
<input type="checkbox"/>	0293.87	05/587,923	3,985,921	Patent Expired
<input type="checkbox"/>	0294.87	05/588,108	3,963,927	Patent Expired
<input type="checkbox"/>	0304.87	05/594,893	4,013,413	Patent Expired
<input type="checkbox"/>	0314.87	05/599,731	4,002,769	Patent Expired
<input type="checkbox"/>	0332.87	05/611,458	3,981,100	Patent Expired
<input type="checkbox"/>	0333.87	05/611,459	3,985,616	Patent Expired

Record: 1/?

If the user does not mark any records, the Do Output will output for all records in the list. If the user marks selected records, it will report only on the records selected. For this example, the user has selected a few records.

The user will then select Prints -> Do Output and the following will display.

Oracle Developer Forms Runtime - Web

Agricultural Research Information System (ARIS) - Active

File Edit Action Record Forms Prints Help

ARIS Inventions - Patent Dockets

Output Data

Options

Title APAT MAIN V1

Style ☒ List ☐ Display ☐ Ascii

Mark All Clear All Output Close

Output Length 80

Field List	Heading	Length	Column	Length
<input checked="" type="checkbox"/>	DOCKET NO	9	DOCKET NO	9
<input checked="" type="checkbox"/>	SERIAL NO	11	SERIAL NO	11
<input checked="" type="checkbox"/>	PATENT NO	10	PATENT NO	10
<input checked="" type="checkbox"/>	PATENT STATUS DESC	50	PATENT STATUS DESC	50
<input type="checkbox"/>	DOCKET PREFIX	1	DOCKET PREFIX	1
<input type="checkbox"/>	FY	6	FY	6
<input type="checkbox"/>	INVENTION TITLE	60	INVENTION TITLE	225
<input type="checkbox"/>	LEAD INV MODECODE 1	3	LEAD INV MODECODE 1	3
<input type="checkbox"/>	LEAD INV MODECODE 2	3	LEAD INV MODECODE 2	3
<input type="checkbox"/>	LEAD INV MODECODE 3	3	LEAD INV MODECODE 3	3
<input type="checkbox"/>	LEAD INV MODECODE 4	3	LEAD INV MODECODE 4	3
<input type="checkbox"/>	PATENT ADVISOR SIG CODE	6	PATENT ADVISOR SIG CODE	6

Record: 1/99

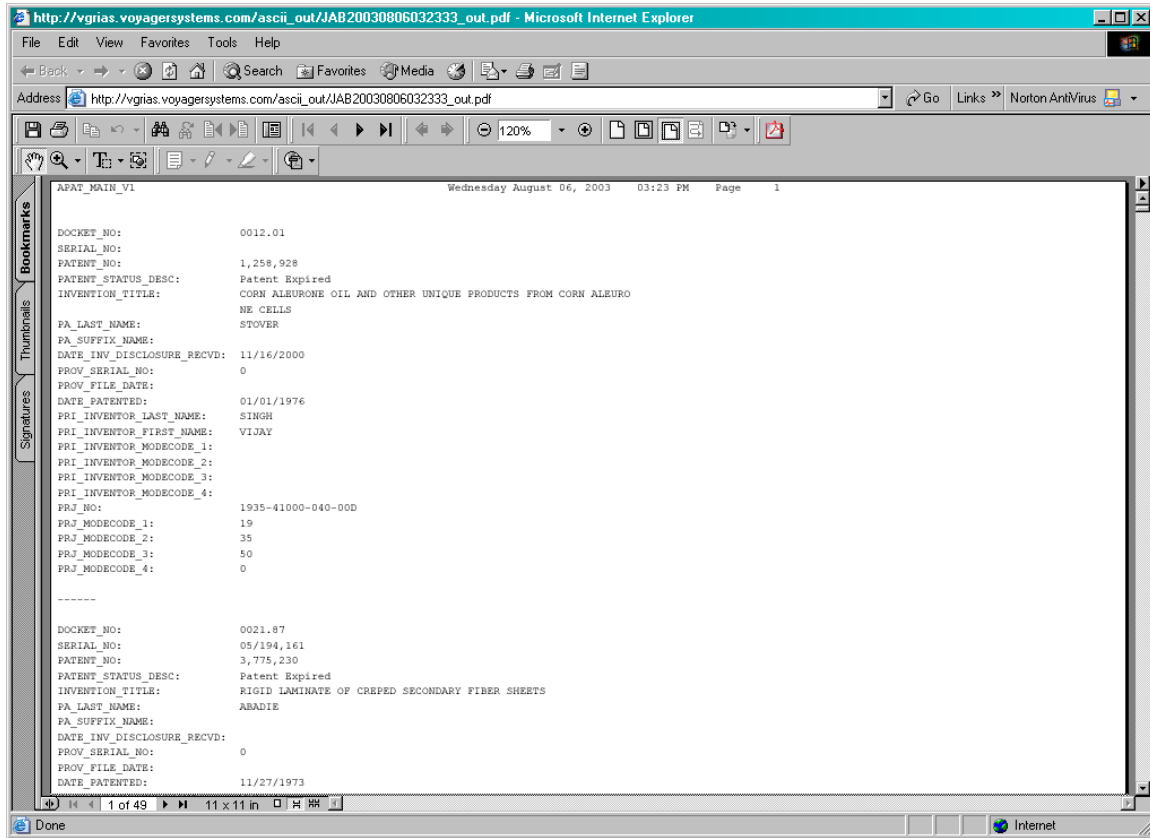
It has automatically marked the items that are displayed in the list for inclusion in the 'report'. The user may mark any additional columns. In this case the user has also marked: Date Patented, Provisional Serial No, Provisional File Date, Patent Advisor Last Name and Patent Advisor First Name.

If the user chooses to produce a list report by selecting <Output> with a Style of ‘List’, the results will look like this:

DOCKET_NO	SERIAL_NO	PATENT_NO	PATENT_STATUS_DESC	PA_LAST_NAME	PA_SUFFIX_NAME	PROV_SERIAL_NO	PROV_FILE_DATE	DATE_PATENTED
0012.01		3,258,928	Patent Expired	STOVER		0		01/01/1976
0021.87	05/194,161	3,775,230	Patent Expired	ABADIE		0		11/27/1973
0159.87	05/456,911	3,935,099	Patent Expired	SILVERSTEIN		0		01/27/1976
0226.87	05/515,262	3,979,286	Patent Expired	SILVERSTEIN		0		09/07/1976
0240.87	05/528,454	3,932,674	Patent Expired	SILVERSTEIN		0		01/13/1976
0262.87	05/554,058	3,949,145	Patent Expired	SILVERSTEIN		0		04/06/1976
0293.87	05/587,923	3,985,921	Patent Expired	ABADIE		0		10/12/1976
0294.87	05/588,108	3,963,927	Patent Expired	SILVERSTEIN		0		06/15/1976
0304.87	05/594,693	4,013,413	Patent Expired	SILVERSTEIN		0		05/22/1977
0314.87	05/599,731	4,002,769	Patent Expired	SILVERSTEIN		0		01/11/1977
0332.87	05/611,458	3,981,100	Patent Expired	SILVERSTEIN		0		09/21/1976
0333.87	05/611,459	3,985,616	Patent Expired	SILVERSTEIN		0		10/12/1976
0335.87	05/611,461	3,997,484	Patent Expired	SILVERSTEIN		0		12/14/1976
0336.87	05/614,994	4,018,950	Patent Expired	SILVERSTEIN		0		03/19/1977
0346.87	05/619,412	4,026,849	Patent Expired	RIBANDO		0		05/31/1977
0350.87	05/627,325	4,025,658	Patent Expired	SILVERSTEIN		0		05/24/1977
0359.87	05/631,259	4,036,987	Patent Expired	SILVERSTEIN		0		07/19/1977
0370.87	05/653,794	4,006,032	Patent Expired	SILVERSTEIN		0		02/01/1977
0374.87	05/659,160	3,981,738	Patent Expired	SILVERSTEIN		0		09/21/1976
0422.87	05/708,792	4,045,387	Patent Expired	SILVERSTEIN		0		08/30/1977
0430.87	05/733,968	4,277,364	Patent Expired	SILVERSTEIN		0		07/07/1981
0437.87	05/748,032	4,134,863	Patent Expired			0		01/16/1979
0458.87	05/775,228	4,073,939	Patent Expired	SILVERSTEIN		0		02/14/1978
0466.87	05/792,366	4,103,784	Patent Expired	ABADIE		0		08/01/1978
0481.87	05/811,399	4,127,563	Patent Expired	SILVERSTEIN		0		11/28/1978
0483.87	05/824,776	4,116,899	Patent Expired	SILVERSTEIN		0		09/26/1978
0485.87	05/825,742	4,130,572	Patent Expired	SILVERSTEIN		0		12/19/1978
0490.87	05/837,488	4,293,319	Patent Expired	SILVERSTEIN		0		10/06/1981
0491.87	05/837,491	4,133,784	Patent Expired	SILVERSTEIN		0		01/09/1979
0497.87	05/866,079	4,195,695	Patent Expired	CONNOR		0		04/01/1980
0510.87	05/891,953	4,136,131	Patent Expired	SILVERSTEIN		0		01/23/1979
0513.87	05/891,956	4,205,006	Patent Expired	SILVERSTEIN		0		05/27/1980
0519.87	05/900,371	4,205,133	Patent Expired	SILVERSTEIN		0		05/27/1980
0529.87	05/913,418	4,236,890	Patent Expired	SILVERSTEIN		0		12/02/1980
0532.87	05/927,791	4,166,107	Patent Expired	SILVERSTEIN		0		08/28/1979
0534.87	05/932,079	4,179,446	Patent Expired	SILVERSTEIN		0		12/18/1979

List reports are good for showing data that can fit in a column format.

If the user selects some additional fields such as Invention Title, Date Invention Disclosure Received, Primary Contact, Inventor Modecode, Project Number, and Project Modecode, and then chooses the format 'Display' since the user knows the data will not fit in a column format and needs to be in a detailed record format. The output for the Style 'Display' will be:



If the user chooses to output this data to an ASCII File, the user will select a style of ASCII and the following will display:

**Output Data**

Options

Title: APAT MAIN V1

Style: ☐ List ☐ Display ☒ ASCII

Separator: Comma ... Column Headers: Yes End of Line: CR/LF File Name: c:\output.asc

Mark All Clear All Output Close Output Length: 288

Field List	Heading	Length	Column	Length
<input checked="" type="checkbox"/>	DOCKET NO	9	DOCKET NO	9
<input checked="" type="checkbox"/>	SERIAL NO	11	SERIAL NO	11
<input checked="" type="checkbox"/>	PATENT NO	10	PATENT NO	10
<input checked="" type="checkbox"/>	PATENT STATUS DESC	50	PATENT STATUS DESC	50
<input type="checkbox"/>	DOCKET PREFIX	1	DOCKET PREFIX	1
<input type="checkbox"/>	FY	6	FY	6
<input checked="" type="checkbox"/>	INVENTION TITLE	60	INVENTION TITLE	225
<input type="checkbox"/>	LEAD INV MODECODE 1	3	LEAD INV MODECODE 1	3
<input type="checkbox"/>	LEAD INV MODECODE 2	3	LEAD INV MODECODE 2	3
<input type="checkbox"/>	LEAD INV MODECODE 3	3	LEAD INV MODECODE 3	3
<input type="checkbox"/>	LEAD INV MODECODE 4	3	LEAD INV MODECODE 4	3
<input type="checkbox"/>	PATENT ADVISOR SIG CODE	6	PATENT ADVISOR SIG CODE	6

Record: 1/1

The user can choose the separator indicator, whether to include column headings, how to designate the end of line and the file name of the output. Then the user will select <Output> and receive:

http://vgrias.voyagersystems.com/ascii\_out/JAB20030806032441\_out.asc - Microsoft Internet Explorer

Address: http://vgrias.voyagersystems.com/ascii\_out/JAB20030806032441\_out.asc

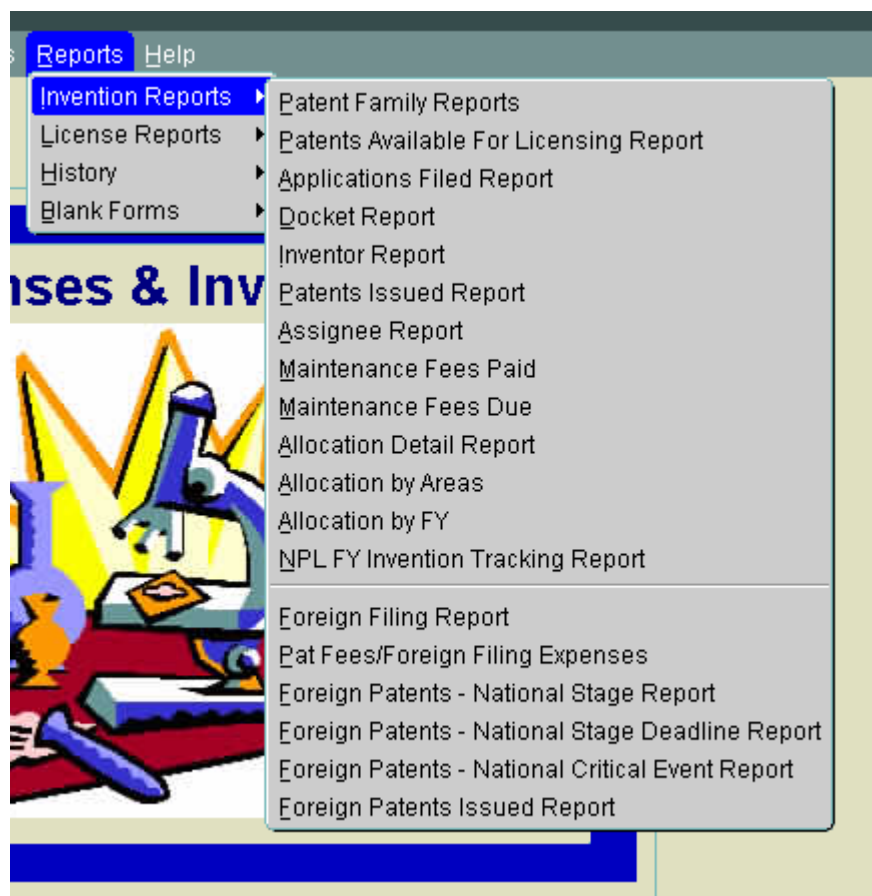
"DOCKET NO","SERIAL NO","PATENT NO","PATENT STATUS DESC","INVENTION TITLE","PA LAST NAME","PA SUFFIX NAME","DATE INV DISCLOS  
"0012.01","","1,258,928","Patent Expired","CORN ALEURONE OIL AND OTHER UNIQUE PRODUCTS FROM CORN ALEURONE CELLS","STOVER",""  
"0021.87","05/194,161","3,775,230","Patent Expired","RIGID LAMINATE OF CREPED SECONDARY FIBER SHEETS","ABADIE","","0",""  
"0159.87","05/456,911","3,935,099","Patent Expired","METHOD OF REDUCING WATER CONTENT OF EMULSIONS, SUSPENSIONS, AND  
"0226.87","05/515,262","3,979,286","Patent Expired","REMOVAL OF HEAVY METAL IONS FROM AQUEOUS SOLUTIONS WITH INSOLUBLE  
"0240.87","05/528,454","3,932,674","Patent Expired","CONTROLLED BULK VEGETABLE FERMENTATION","SILVERSTEIN","","0",""  
"0262.87","05/554,058","3,949,145","Patent Expired","DEGRADABLE STARCH-BASED AGRICULTURAL MULCH FILM","SILVERSTEIN","","0  
"0293.87","05/587,923","3,985,921","Patent Expired","TREATMENT OF WOOD WITH BUTYLENE OXIDE","ABADIE","","0",""  
"0294.87","05/588,108","3,963,927","Patent Expired","DETECTION OF HIDDEN INSECTS","SILVERSTEIN","","0",""  
"0304.87","05/594,893","4,013,413","Patent Expired","APPARATUS AND METHOD FOR RAPID ANALYSES OF PLURALITY OF SAMPLES","SILVE  
"0314.87","05/599,731","4,002,769","Patent Expired","INSECT MATURATION INHIBITORS","SILVERSTEIN","","0",""  
"0332.87","05/611,458","3,981,100","Patent Expired","HIGHLY ABSORBENT STARCH-CONTAINING POLYMERIC COMPOSITIONS","SILVERSTEIN  
"0333.87","05/611,459","3,985,616","Patent Expired","IMMOBILIZATION OF ENZYMES WITH A STARCH-GRAFT COPOLYMER","SILVERSTEIN",  
"0335.87","05/611,461","3,997,484","Patent Expired","HIGHLY-ABSORBENT STARCH-CONTAINING POLYMERIC COMPOSITIONS","SILVERSTEIN  
"0336.87","05/614,994","4,018,950","Patent Expired","DURABLE PRESS FINISHING WITH CATALYSIS BY TRIAZOPHOSPHADAMANTANE

The results are available in the file name designated for import into an Excel spreadsheet or other application.



## ***Invention Reports***

The following shows the list of reports available under Invention Reports. Note: there are specific reports available within the Patent forms that are not listed on the main menu.



## Patent Family Report

This report allows the user to query either a Detailed Report or a Summary Report and to report either All Patent Family or a family for a selected Docket.

The Summary Report will show the Patent Family tree with docket no and type in a hierarchical tree structure. The Detailed Report will show the Patent Family tree with expanded information about each Docket including Serial No, Patent No, Date Patented, Invention Title and Status Code.

Detail Example:

09/05/2003	Agricultural Research Service Agricultural Research Information System				Page 1
USDA PATENTS FAMILY TREE					
<u>Prefix/Docket No</u>	<u>Relation</u>	<u>Serial No</u>	<u>Patent No</u>	<u>Date Patented</u>	<u>Invention Title</u>
U 4008.91	Parent				
		07/925,685	00,000,000		REPELLENTS FOR ANTS
.....U 0182.94	Continuation				
		08/286,111	05,648,390	07/15/1997	REPELLENTS FOR ANTS

## Patents Available for Licensing

This report will detail all patents that are not currently licensed or that are licensed as Non-Exclusive. It can be used to identify inventions that can be promoted. There are no query criteria as it automatically searches for available patents that are either not licensed (and are not abandoned, expired or terminated) or are licensed non-exclusively.

It returns a report that shows for each patent available the Docket No, FY, Patent Advisor, Title, Date Invention Disclosure Received, Provisional Serial No, Provisional File Date, Serial No, Date Application Filed, Patent No, Date Patented, and if a non-exclusive license exists, the license no, technology description, license status and current licensee company name.

Example for one Patent Docket:

Docket No: 0022.00	FY: 2000	Patent Advisor: JOSEPH A LIPOVSKY
Title: PROCESS FOR DRY INSTANTIZATION OF RICE		
Date Inv Disclosure Recvd: 01/24/2000		
Prov Serial No: 00/000,000	Prov Filed Date:	
Serial No: 09/758,663	Date Application Filed: 01/11/2001	
Patent No: 0,000,000	Date Patented:	
License No(If a non exclusive license exists): 010596/001		
Technology Desc: GENERATED ID - DOCKET NO2200		
License Status:	Current Licensee Company Name: IOWA STATE UNIVERSITY	

## Applications Filed Report

This report allows the user to query by Application Filed date range and/or Patent Status.

It will returns a report that shows Serial No, Date Application Filed, Patent No, Date Patented, Docket No, Provisional Serial No, Provisional File Date, Patent Advisor, Title, Prosecution History (all patent status and fee information), and inventors.

Example for one Patent Docket:

Serial No: 98/562,564 Date App Filed: 01/28/2002 Patent No: 0,000,000 Date Patented:		
Docket No: U 0003.02	Date Inv Disc Recv:	
Prov Serial No:	Provisional File Date:	
Patent Advisor: JANELLE S GRAETER		
Title:		
KELLIES TEST OF WORK TO ACTIVE		
Status:	Status	Date Critical?
New Disclosure, not yet considered by Committee	01/28/2002	N
Information Disclosure Statement Filed	01/28/2002	Y
Deferred (awaiting more information)	01/28/2002	N
Response to Restriction Requirement Filed	01/28/2002	Y
Inventors:	Agency/Org	Primary?
ANN REILLEY	ARS	Y

## Docket Report

This report allows the user to enter query criteria for a Patent Advisor, patent status(s), FY(s), Docket Number(s) and/or Status Date Range.

It returns a report that shows summary information for each docket including: Patent Advisor, Docket No, Serial No, Patent No, Date Patented, Title, Date Application Filed, CRADA Agreement No, Inventors including their Organization, and Prosecution History (all patent status and fee information).

Example for one Patent Docket:

Patent Advisor: STOVER G B		
Docket No: 0012.01	Serial No: 00/000,000	Patent No: 1,258,928
Title:	Date App Filed:	Date Patented: 01/01/1976
CORN ALEURONE OIL AND OTHER UNIQUE PRODUCTS FROM CORN ALEURONE CELLS		
CRADA Agreement No:		
Inventor(s):	Org/Agency	
SINGH VIJAY	ARS	
MOREAU ROBERT A	EASTERN REGIONAL RESEARCH CENTER	
	ARS	
Status(s):	Critical?	
Patent Expired	N	01/30/2002
Patent Advisor Comments:		
EXPIRED PATENT OVER 17 YEARS FROM PATENT DATE INVENTION TITLE TABLE STATUS CODE 1 CHANGED		

## Inventor Report

This report launches a form that lets the user search on any criteria that you would normally search on when retrieving and viewing patent records. The user can query the records based on the criteria needed, mark the desired records on a list and then generate the report by selecting the menu option Report -> Generate Report.

It returns a report that for each inventor, that shows the list of Docket inventions (Patent, Plant and/or Biological) that he is assigned to. For each docket, it will show additional detailed info and if any licenses resulted from the docket, they will be listed.

Example for one Inventor:

09/04/2003

Agricultural Research Service  
Agricultural Research Information System  
INVENTOR REPORT

Page 11

Inventor Name: ROBERT K VANDER MEER		Modcode	Desc:		
Patents					
Docket	Title	Date Filed	Status	Patent No Issued	
0026.94	REPELLENTS FOR ANTS	04/29/1994	Abandoned	0	
0041.91	METHOD FOR THE CONTROL OF INSECTS 06/455,727-001 TO GRIFFIN	03/21/1990	Patented	5177107 01/05/1993	
0072.96	REPELLENTS FOR ANTS	12/29/1995	Patented	5721274 02/24/1998	
0145.95	REPELLENTS FOR ANTS	06/06/1995	Patented	5587401 12/24/1996	
0146.95	REPELLANTS FOR ANTS	06/06/1995	Abandoned	0	
0149.95	REPELLENTS FOR ANTS	06/06/1995	Abandoned	0	
0173.94	REPELLENT FOR ANTS	07/29/1994	Patented	6071973 06/06/2000	
0182.94	REPELLENTS FOR ANTS	08/04/1994	Patented	5648390 07/15/1997	
0772.87	A METHOD FOR THE CONTROL OF INSECTS	01/05/1983	Abandoned	0	
		License No	Group Description		
			License Status	Type of License	Issue Date
		786/1	GENERATED ID - DOCKET NO 772.87		
			Licensed	Exclusive	08/15/1985

## Patents Issued Report

This report launches a form that lets the user search on any criteria that they would normally search on when retrieving and viewing patent records. The user can query the records based on the criteria they need, mark the desired records on a list and then generate the report by selecting the menu option Report -> Generate Report.

It returns a report that for each Docket, details the Serial No, date application filed, Patent No, date patented, provisional serial no, provisional file date, Patent Advisor, invention title, and the major categories.

Example for one Patent Docket:

09/04/2003	Agricultural Research Service		
	Agricultural Research Information System		
	Patents Issued		
Docket No	0693.87	Serial No	06/288,260
		Date Application Filed	07/29/1981
Patent No	4,329,337	Date Patented	05/11/1982
Prov Serial No	00/000,000	Prov File Date	
Patent Advisor	JEFFREY SILVERSTEIN		
Title	TURKEY SEMEN EXTENDER		
Major Categories			
	FO	Food	
Total Number Issued			1

## Assignee Report

This report launches a form that lets the user search on any criteria that they would normally search on when retrieving and viewing patent records. The user can query the records based on the criteria needed, mark the desired records on a list and then generate the report by selecting the menu option Report -> Generate Report.

For each assignee, the report will show the list of docket inventions that have an inventor who is assigned to the requested Agency/Organization. It will show summary information for each docket.

Example for Air Vent Inc:

09/05/2003
Agricultural Research Service  
Agricultural Research Information System  
ASSIGNEE (cooperator)REPORT
Page 7

Agency Name: AIR VENT INC
Location:

Prosecution:

Patent Dockets	Title	Date Filed	Status	Patent No	Issued
U 1407.87	REPLACEMENT FILTERED SOFFIT VENTILATOR	06/02/1987	Patent Expired, Dropped Patent Maintenance Fee	4,762,053	08/09/1988

**Plants**

Docket	Variety Name	PVP No	Application Filed	Certificate Issued

**Biological**

Docket	Bio Material Name	Type of Biological Material

## **Maintenance Fees Paid**

This report launches a form that lets the user search on any criteria that they would normally search on when retrieving and viewing patent records. The user query the records based on the criteria needed, mark the desired records on a list and then generate the report by selecting the menu option Report -> Generate Report.

The report returned shows in column format: the Date Fees Paid, the Amount Paid, the Patent No, Date Patented, Date Custody Transferred, Serial No, Title, Agency, and the total amount of maintenance fees paid.

## **Maintenance Fees Due**

This report launches a form that lets the user search on any criteria that you would normally search on when retrieving and viewing patent records. The user can query the records based on the criteria needed, mark the desired records on a list and then generate the report by selecting the menu option Report -> Generate Report.

The report returned shows in column format: the Date Fees Due, the Amount Due, the Patent No, Date Patented, Date Custody Transferred, Serial No, Title, Agency, and the total amount of maintenance fees due.

## Allocation Detail Report

This report allows the user to enter query criteria for Area(s), a Fiscal Year, Direct or Indirect Filing, and the type of Dockets to include, Patent, Plant Materials and/or Biological Materials.

A Docket invention may have many inventors that are assigned to different modecode locations. The Patent Docket itself inherits the modecode assignment of the Lead Inventor (inventor designated as the primary contact). 'Direct Filing' means the report is for invention's whose direct modecode assignment is for the requested area(s). 'Indirect Filing' means the report is for any invention that has one or more inventors that are assigned to the requested area(s). Note: This can result in the invention being counted under multiple areas when choosing to report Indirect Filing.

The report will show a list for the requested Area and FY of the dockets that were entered in that FY. For each docket, it details the date the invention was disclosed, the modecode assignment of the invention, the current Patent Status, the CRADA agreement number if applicable, and the list of inventors with their modecode assignments.

Partial example for Area 12, FY 2000, Direct Filing, Patent Dockets:

09/04/2003

Agricultural Research Service  
Agricultural Research Information System

Page 1

DETAILED UTILITY ALLOCATION REPORT  
BY AREA

Area: 12 FY: 2000

No. of Invention Disclosures Rec'd:										
Docket No:	Inv Disclosure	FY	Area				Patent Status		Crada No	
U 0030.00	12/08/1999	2000	12	70	25	00	Deferred (awaiting more information)			
	Inventor No		Inventor Name				Inventor M/C 1	Inventor M/C 2	Inventor M/C 3	Inventor M/C 4
	1		CALDWELL, CHARLES R							
U 0047.00		2000	12	00	00	00	Awaiting PTO Action			
	Inventor No		Inventor Name				Inventor M/C 1	Inventor M/C 2	Inventor M/C 3	Inventor M/C 4
	1		OZIAS-AKINS, PEGGY							
	2		HANNA, WAYNE W							
	3		ROCHE, DOMINIQUE							



## Allocation by Area Report

This report allows the user to enter query criteria for a single Fiscal Year and include Direct and/or Indirect Filing. It will report statistics for all Areas for the requested FY.

A Docket invention may have many inventors that are assigned to different modecode locations. The Patent Docket itself inherits the modecode assignment of the Lead Inventor (inventor designated as the primary contact). 'Direct Filing' means the report is for invention's whose direct modecode assignment is for the requested area(s). 'Indirect Filing' means the report is for any invention that has one or more inventors that are assigned to the requested area(s). Note: This can result in the invention being counted under multiple areas when choosing to report Indirect Filing.

The report will calculate summary statistics for the FY requested. For each Area, it will show the total invention disclosures received, patent applications filed, and patents issued. It will further break out statistics for CRADA inventions.

Partial example for FY 2000, Direct Filing:

09/04/2003	Agricultural Research Service Agricultural Research Information System DIRECT ALLOCATION REPORT BY AREA							Page 1
FY: <input type="text" value="2000"/>	AREAS							
<u>Patents:</u>	<u>12</u>	<u>19</u>	<u>36</u>	<u>53</u>	<u>54</u>	<u>62</u>	<u>64</u>	<u>66</u>
Invention Disclosures Rec'd:	10	9	22	11	4	10	11	18
Patent Apps Filed:	10	2	6	4	2	5	2	8
Patents Issued:	0	0	2	0	0	1	0	2
<u>CRADA's Associated:</u>								
Invention Disclosures Rec'd:	0	1	4	2	0	5	1	1
Patent Apps Filed:	3	0	1	0	0	1	0	0
Patents Issued:	0	0	2	0	0	0	0	0

## Allocation by FY Report

This report allows the user to enter query criteria for a single Area, for multiple FY(s) up to five years and to include Direct and/or Indirect Filing.

A Docket invention may have many inventors that are assigned to different modecode locations. The Patent Docket itself inherits the modecode assignment of the Lead Inventor (inventor designated as the primary contact). 'Direct Filing' means the report is for invention's whose direct modecode assignment is for the requested area(s). 'Indirect Filing' means the report is for any invention that has one or more inventors that are assigned to the requested area(s). Note: This can result in the invention being counted under multiple areas when choosing to report Indirect Filing.

The report will calculate summary statistics for the Area requested. For each FY requested it will show the invention disclosures received, patent applications filed and patents issued. It will further breakout statistics for CRADA inventions.

Partial example for Area 66, FYs 1999, 2000, and 2001, for Direct Filing:

09/04/2003		Agricultural Research Service Agricultural Research Information System		Page 1	
DIRECT ALLOCATION REPORT BY FY					
AREA:	66	FISCAL YEARS			
Patents:		1999	2000	2001	
Invention Disclosures Rec'd:		18	18	5	0
Patent Apps Filed:		20	8	0	0
Patents Issued:		6	2	0	0
<u>CRADA's Associated:</u>					
Invention Disclosures Rec'd:		1	1	1	0
Patent Apps Filed:		1	0	0	0
Patents Issued:					

## NPL FY Invention Tracking Report

This is a draft report for NPL personnel. It allows the user to query on a single FY. For that FY, it will return all inventions entered under that FY and it will first show all inventions that are tied to a CRADA agreement and then it will list all inventions that are not tied to a CRADA agreement. For each Docket, it will show the CRADA Agreement No, the Log Number, the Start Date and Stop Date, the Patent Advisor, the Invention Title, and the list of inventors with their Modecode assignments.

Partial example for FY 2000:

09/05/2003

Agricultural Research Service  
Agricultural Research Information System  
DRAFT \*NPL FY INVENTION TRACKING REPORT\* DRAFT

Page 1

CRADA Inventions:									
Docket #	Agreement No			Log Number	Start Date	Stop Date	Patent Advisor		
U 0060.00	58	3K95	9 0781	16585	09/01/1999	12/01/2001	CONNOR	MARGARET	A
INSULATED CONTAINERS MADE OF STARCH-BASED FOAM AND A PAPER, FOIL OR PLASTICSHEET COATING									
Inventor Name					Inventor Modecode				
GLENN					GREGORY M				
ORTS					WILLIAM J				
NOBES					GEOFFREY A R				
GRAY					GREGORY M				
U 0171.00	58	3K95	9 0757	0	06/15/1999	06/14/2000	DECK	RANDALL	E
ATTRACTANT FOR MONITORING AND CONTROL OF ADULT SCARABS									
Inventor Name					Inventor Modecode				
LOPEZ					JUAN DE DIOS				
SHAVER					TED N				
CROCKER					ROBERT L				

## **Foreign Filing Report**

This report shows in column format: US Serial No, US File Date, PCT File Date, PCT/Non-PCT National Deadline, PCT Status, Patent Advisor and Title.

## **Patent Fees/Foreign Filing Expenses**

This report allows the user to query an invoice date range, docket number(s), serial number(s) and/or patent number(s).

The report will return information for each Docket including: Docket No, FY, Primary Contact (Lead Inventor), Provisional Serial No, Serial No, Patent No, Title, Patent Advisor, US Patent Prosecution Fees, Foreign Filing Expenses, and calculate totals for US Prosecution Fees, the Foreign Filing Expenses and the total of both US and Foreign.

## **Foreign Patents – National Stage Report**

This report allows the user to query a National Deadline Date Range.

The report displays summary information for the docket including: Docket No, FY, Title, Serial No and National Filing information including Country, National Filing Deadline, National Filing Status, Application No, Patent No and Issue Date.

## **Foreign Patents – National Stage Deadline Report**

This report allows the user to query on National Deadline Date Range, Docket No(s), Serial No(s), and Country Code(s).

The report displays Docket No, FY, Title, Serial No and PCT Filing information including Status, Country and National Filing Deadline.

## **Foreign Patents - National Critical Event Report**

This report allows the user to query National Filing information including critical event date range, critical event, national filing status, docket number, serial number, invention title or country code.

The report shows basic docket information including Docket No, FY, Serial No, Patent No, and Title and shows the associated National Filing records which include Country, Status, Application No, Application Date, Patent No, Issue Date, and Critical Event.

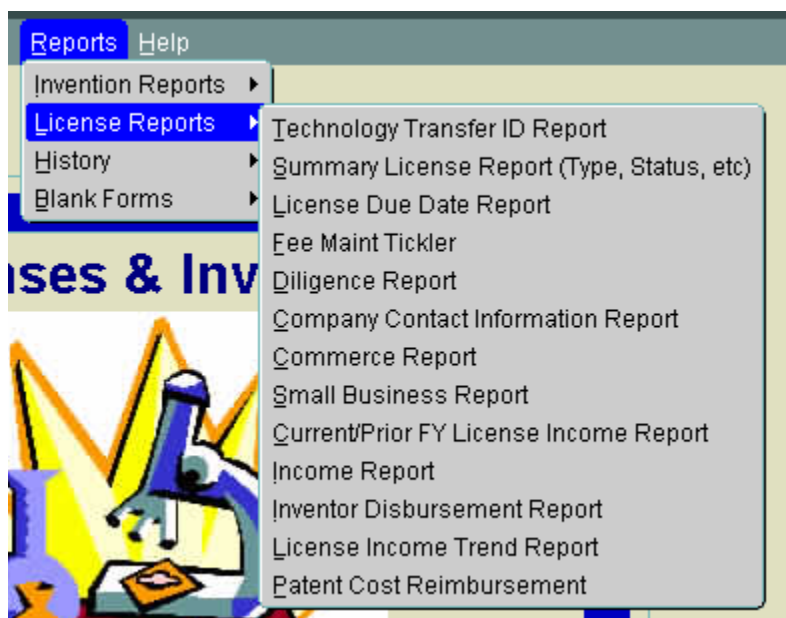
## **Foreign Patents Issued Report**

This report allows the user to query on a patents issued date range, docket number, serial number, patent number and/or country.

The report shows basic docket information including Docket No, FY, Serial No, Patent No, Title and Serial No and shows the associated National Filing records which include Country, Status, Application No, Application Date, Patent No and Issued Date.

## License Reports

The following shows the list of reports available under License Reports. Note: there are specific reports available within the License forms that are not listed on the main menu.



### Technology Transfer ID Report

This report allows the user to query on TT ID(s), Docket No(s), License No(s), Issue Date, Type of License, License Status, Current Licensee, Serial No, Prov Serial No, Patent No, Invention Title, Plant Docket No(s), Variety Name, PVP No, Biological Docket No(s), Biological Material Name, and/or Material Type.

The report will show for each TT ID, docket and license information. Docket information will include Docket Prefix, Docket No (list will be separated by type – Patent, Plant Material or Biological Material), Provisional Serial No, Serial No, Patent No, and Title and information on any National Filing records including Country, application no and file date, patent no and issued date; for Plant Materials – Variety Name, PVP No, Application No and Filed Date, Certificate No and Filed Date; for Biological Materials – Material Name and the Material Type. For each license, it will show licensed issued date, license status, current licensee, and the list of dockets assigned under the license.

## Summary License Report

This report allows the user to query on TT ID(s), License No(s), Group Description, Company Name, Type of License, License Status, Issue Date Range and/or Status Date Range.

The report will show in column format TT ID/License No, Group Description, Company Name of the Current Licensee, Type of License, Issue Date, License Status, and License Status Date.

Partial example for Type of License is Non-Exclusive:

09/05/2003		Agricultural Research Service Agricultural Research Information System				1
<u>License Report</u>						
<u>License No</u>	<u>Group Desc</u>	<u>Company Name</u>	<u>Type of License</u>	<u>Issue Date</u>	<u>Status</u>	<u>Date</u>
000783/001	GENERATED ID - DOCKET NO 693.87	AKZO NOBEL--INTERVET, Non exclusive INC.		09/19/1988	Licensed	09/19/1988
000784/002	GENERATED ID - DOCKET NO 750.87	BRINTON LABORATORIES, Non exclusive INC.				
000784/007	GENERATED ID - DOCKET NO 750.87	SCHERING-PLOUGH CORPORATION	Non exclusive			
000784/008	GENERATED ID - DOCKET NO 750.87	AKZO NOBEL/INTERVET, Non exclusive INC.		05/26/1987	Licensed	05/26/1987
000784/009	GENERATED ID - DOCKET NO 750.87	WILLMAR POULTRY, INC. Non exclusive		05/26/1987	Licensed	05/26/1987
000787/002	GENERATED ID - DOCKET NO 852.87	IOWA STATE UNIVERSITY Non exclusive		12/08/2001	Licensed	12/08/2001

## License Due Date Report

This report allows the user to query on TT ID(s), License No(s), Group Description, License Status, Type of License, License Company, Income Type, Fee Due Date, Fee Received Date, Royalty Report Due, Royalty Report Most Recent, Progress Report Due, Progress Report Most Recent, Date of First Sale and/or FY.

This report will show summary information for the license including TT ID/License No, Group Description, License Status, Type of License, Current Licensee and depending on selection criteria; royalty report due date information, progress report due date information, income due in list format showing due date, income type, amount due, amount received, and date received.

Partial example:

09/05/2003		Agricultural Research Service		1	
		Agricultural Research Information System			
<u>License Due Date Report</u>					
License Number: 781 4		Group Description: GENERATED ID - DOCKET NO 102.01 edited			
License Status: Licensed		Type of License: Non exclusive			
Current Licensee: GENETICS & IVF INSTITUTE					
Royalty Report:			Progress Report:		
Due Date:			Due Date:		
Due Date:			Date Most Recent Report:		
Date Most Recent Report:			1st Commercial Sale: 08/01/2003		
<u>Date Due</u>	<u>Income Type</u>	<u>Amount Due</u>	<u>Amount Rec'd</u>	<u>Date Rec'd</u>	
07/20/2003	MILESTONE PAYMENT	\$1,200	\$1,200	07/21/2003	
07/01/2003	EXECUTION FEE	\$500	\$500	07/15/2003	

## Fee Maintenance Tickler

This report allows the user to query a Tickler Due Date Range, TT ID(s), License No(s), Group Description, and/or License Status.

This report will show the Tickler Due Date, the TT ID/License No, License Status, Group Description and the Tickler Description.

Example for a license:

09/05/2003		Agricultural Research Service Agricultural Research Information System LICENSE FEES TICKLER REPORT		Page 1	
Tickler Date:		License No:		License Status:	
01/10/2003		000783 001		Licensed	
Group Description:					
GENERATED ID - DOCKET NO 693.87					
Tickler Description:					
test tickler					

## Diligence Report

This report allows the user to query Target Date Range, Date of First Sale Date Range, Group Description, TT ID(s), License No(s), License Status, Type of License and/or Current Licensee.

This report will show summary information for the license, commercial target data and Milestone data. Summary license info includes the TT ID/License No, Group Description, License Status, Current Licensee and then in column format or Commercial Targets; the target date, target description, date of first sale and product name and in column format for Milestones; Milestone Description, Date Met, and Payment Amount.

Example for one License:

09/05/2003	Agricultural Research Service Agricultural Research Information System		Page 1
COMMERICAL TARGET/PRODUCT NAME REPORT			
License No: 000781 503 Group Description: GENERATED ID - DOCKET NO 102.01 edited			
License Status: Licensed		License Type: Limited exclusive (fields of use)	
Current Licensee:			
Target Date	Target Description	Date Of First Sale	Product Name
01/01/1900			
04/04/2003	Target Description 1	04/04/2004	Product 1
04/05/2003	Target Description 2	04/04/2004	Product 2
	Milestone	Date Met	Payment Amount
Milestone 1		04/04/2004	10
Milestone 2		04/05/2004	10
Total Paid:			\$20



## Company Contact Information

This report allows the user to query TT ID(s), License No(s), Company Name, Primary Contact Name, License Status, Company Type and to optionally include Secondary Contact information.

The report will show for each license (TT ID/License No), the company type, the company name, the primary contact name, address, phone, fax and email.

Partial example:

09/05/2003	Agricultural Research Service Agricultural Research Information System COMPANY CONTACT INFORMATION			Page 1	
License No	Company Type	Company Name	Primary Contacts	Phone/Fax	E-mail
000782 / 001	Current	AMBI INC			
		Ben	Sporn	[914] 701-4500	
				[914] 696-0860	
		4 Manhattanville Road			
		Purchase	NY US	10577-2197	
000782 / 002	Current	MONARCH NUTRITIONAL LABS.			
		NANETTE JOHNSON		[801] 392-9111	
		ADMINISTRATIVE VICE PRESIDENT		[801] 621-0645	
		933 WALL AVENUE			
		OGDEN	UT US	84404-0000	

## Commerce Report

This report is under review. There are several other reports that produce pieces of the Commerce Report. This includes the Income Report which can be used to generate the Earned Royalty Income information. It also includes the Do Output function which can be used to bring the pending data into an excel spreadsheet.

## Small Business Report

This report allows the user to query the TT ID(s), License No(s), Group Description, Company Name, License Status, Type of License, License Company Name, and whether the company is designated as small business, minority owned and/or rural business. The user should always check one of the indicators: Small Business, Minority Owned and/or Rural Business.

This report will show in column format, the License No (TT ID/License No), Group Description, Type License Company, Type of License, Company Name, and indicate whether it is small business, minority owned and/or rural business.

Partial example:

09/05/2003		Agricultural Research Service Agricultural Research Information System			Page 1		
USDA SMALL BUSINESS REPORT							
<u>License</u> <u>No</u>	<u>Group Desc</u>	<u>Type License</u> <u>Company</u>	<u>License</u> <u>Description</u>	<u>Company</u> <u>Name</u>	<u>Small</u> <u>Business</u>	<u>Rural</u> <u>Business</u>	<u>Minority</u> <u>Owned</u>
910 1	GENERATED ID - DOCKET NO 83.94	CURRENT LICENSEE	Non exclusive	GLYKO, INC.	Y		

## Current/Prior FY License Income Report

This report allows the user to query a TT ID(s), a current FY, license status and/or fee type. The user should always provide at least the current FY. *This report can be used to run income for any two consecutive years by specifying the 'current' FY as any FY entered.*

This report will show for each license (TT ID/License No) the Prior FY income (for the types selected), the current licensee company name, type of license, license status, last payment date and current FY income.

Partial example:

09/05/2003		Agricultural Research Service Agricultural Research Information System CURRENT/PRIOR FISCAL YEAR INCOME				Page 1	
PRIOR FY: 1999		CURRENT FY: 2000		FEE TYPES:			
Prior FY	License No	Company	Type	Status	Last Payment Date	Current FY	
\$653,665	000782 / 001	AMBI INC	Exclusive	Licensed	08/31/2000	\$740,351	
Prior FY	License No	Company	Type	Status	Last Payment Date	Current FY	
\$5,448	000783 / 001	AKZO NOBEL-- INTERVET, INC.	Non exclusive	Licensed	02/29/2000	\$2,810	
Prior FY	License No	Company	Type	Status	Last Payment Date	Current FY	
\$4,206	000784 / 001	ARKO LABORATORIES, LTD.	Non exclusive	Licensed	07/28/2000	\$5,279	

## Income Report

This report is only available to authorized OTT personnel. This report allows the user to query a Due Date Range, a Received Date Range, TT ID(s), License Status, and Income Types.

The report will show summary license information including TT ID/License No, Group Description, Current Licensee, Docket No(s) and Invention Title(s), and in column format for each fee type requested, the FY, Due Date, Total Due, Paid Date, Amount Received and Date the record was last modified. It will also calculate totals for each fee type and the total for the license.

Example for a Terminated License:

09/08/2003

Agricultural Research Service  
Agricultural Research Information System  
OTT INCOME REPORT

Page 1

License No: 000862 /1      Group Desc: GENERATED ID - DOCKET NO 1476.87      Company Name: CANADA/ALBERTA LIVESTOCK RES.

Docket No      Invention Title

U 147687      VACCINES FOR THE PROTECTION OF ANIMALS AGAINST HYPODERMOSIS

Fee Type: L INCOME

Income FY	Due Date	Total Due	Paid Date	Amt Recd	Date Last Mod
1991	09/30/1991	\$3,000	09/30/1991	\$3,000	
1993	09/30/1993	\$1,000	09/30/1993	\$1,000	
1994	04/30/1994	\$1,000	04/30/1994	\$1,000	
1996	09/03/1996	\$2,000	09/03/1996	\$2,000	
1997	07/31/1997	\$1,000	07/31/1997	\$1,000	
2000	01/24/2000	\$836	01/24/2000	\$836	
Totals:		\$8,836		\$8,836	
				Total Fees Due per License:	\$8,836
				Total Recd per License:	\$8,836
				Total Recd:	\$8,836
				Total Fees Due:	\$8,836

## Inventor Disbursement Report

This report is only available to authorized OTT personnel. This report allows the user to query Inventor Name, TT ID(s), License No(s), Docket No(s), License Status, and Inventor Disbursement Date Range.

The report will show for each inventor that met the query criteria, the list of inventions that he is an inventor on including Docket No, Invention Title, Date Filed, Most Recent Patent Status, Patent No and Date Patented. Then it will list all licenses under which the inventor has received disbursement and will show for each license the TT ID/License No, Group Description, Current Licensee, License Status, Type of License, Issue Date, Docket Number disbursed under and amount of disbursement.

Example using Test Data:

09/08/2003	Agricultural Research Service Agricultural Research Information System INVENTOR DISBURSEMENTS REPORT					Page 1
Inventor Name: ALEXANDER P KING		Modcode:12-30-15-00		Location: NATIONAL ARBORETUM (WASHINGTON, D.C.)		
Licenses						
License No	Group Description	Current Licensee	License Status	Type of License	Issue Date	
781 4	GENERATED ID - DOCKET NO 102.01 edited	GENETICS & IVF INSTITUTE	Licensed	Non exclusive	07/21/2003	
	Docket No	Disbursed Amount Total				
	U 0034.92	\$3,000.00				
	Total for License:	\$3,000.00				
	Total for Inventor:	\$3,000.00				

## License Income Trend Report

This report is only available to authorized OTT personnel. This report allows the user to query on TT ID(s), provide a starting FY, and/or a license status. The user should always provide a FY Range that does not exceed 5 years. The report will then generate for the FY year range requested.

The report will show in column format, each License (TT ID/License No), Group Description, Current Licensee and for income; the income type and the income for each of the years from the requested in the FY range.

Example for Terminated license:

09/08/2003	Agricultural Research Service Agricultural Research Information System					1
<u>License Income Trend Report</u>						
License No 862/001	Group Desc GENERATED ID - DOCKET NO 1476.87					
Current Licensee	CANADA/ALBERTA LIVESTOCK RES.					
	FY 1991	FY 1993	FY 1994	FY 1996	FY 1997	FY 2000
Annual Fee:	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
March:	\$0.00	\$0.00	\$1,000.00	\$1,000.00	\$2,000.00	\$2,836.00
September:	\$3,000.00	\$4,000.00	\$4,000.00	\$6,000.00	\$6,000.00	\$6,000.00
Total:	\$3,000.00	\$4,000.00	\$5,000.00	\$7,000.00	\$8,000.00	\$8,836.00

## Patent Cost Reimbursement

This report is only available to authorized OTT personnel. This report allows the user to query TT ID(s), License(s), Group Description, License Status, License Type, Current Licensee, Docket No(s), Date Bill Sent Date Range, Date Due Date Range and/or Date Received Date Range.

This report will show for each license: License No (TT ID/License No), Group Description, License Status, Type of License, Current Licensee, and then for each Patent Cost Reimbursement; the docket no, date bill sent, amount due, due date, amount received, date received and comments.

Example using test data:

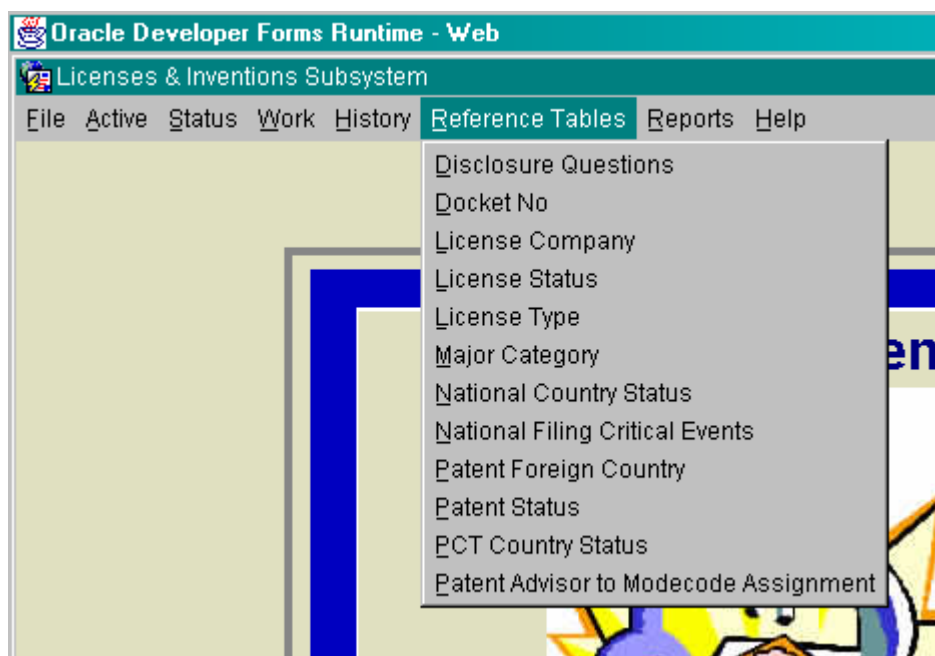
09/08/2003	Agricultural Research Service Agricultural Research Information System PATENT COST REIMBURSEMENT REPORT					Page 1
License No:	790 2	Group Desc:	GENERATED ID - DOCKET NO 1129.87			
License Status:	Licensed	Type Of License:	Limited exclusive (fields of use)			
Current Licensee:	ADVANCED COMMERCIAL RESOURCES					
Docket No	Bill Sent Date	Amount Due	Due Date	Amount Recd	Date Recd	Comments
U 3492	02/01/2003	\$600	02/28/2003	\$600	02/28/2003	recev
U 3492	03/01/2003	\$600	03/28/2003			

## 6. Reference Tables

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The capability to view and maintain the Reference Tables is under the Reference Table menu which lists each of the Reference Tables available.

### **Menu**



These tables are:

- ◆ Disclosure Questions – View and maintain the text of the disclosure questions. There are separate questions for Patent Dockets, Plant Material Dockets and Biological Material Dockets. Questions are maintained for each FY.
- ◆ Docket No – View and maintain Docket Numbers for Patent Dockets, Plant Material Dockets and Biological Material Dockets. Docket Numbers are maintained for each FY.
- ◆ License Company – View and maintain company, contact, address, phone, fax and e-mail information. This information can then be used by licensing personnel to specify the license company and contact.

- ◆ License Status – View and maintain valid License Statuses. Current statuses are:
  - P - Pending
  - O - Optioned
  - L - Licensed
  - C - Closed
  - T – Terminated
- ◆ License Type – View and maintain valid License Types. Current types are:
  - C - Co-exclusive
  - E - Exclusive
  - F - Limited exclusive (Fields of Use)
  - N - Non exclusive
  - T - Limited exclusive (Territories)
- ◆ Major Category – View and maintain Major Category Codes. (e.g. AH - Animal Husbandry)
- ◆ National Country Status – View and maintain National Country Statuses. Current statuses are:
  - M - Abandoned
  - N - Patented
  - P - Pending
  - S - Narrowed at National
- ◆ National Filing Critical Events – View and maintain National Filing Critical Events. Current event codes are:
  - A - Request for Examination Due
  - C - Response to Official Action Due
  - E - Issue Fee Due
  - G - PA Response to Contractor Due
  - J - Other Fee Due
- ◆ Patent Foreign Country – View and maintain the country codes as specified by treaty for patent foreign countries. (e.g. AC - ALL BUT CUBA)
- ◆ Patent Status – View and maintain valid Patent Statuses. (e.g. TP – Patented)
- ◆ PCT Country Status – View and maintain valid PCT Country statuses. Current PCT Country Status Codes are:
  - A - Await Filing
  - B - Request Filed
  - C - Demand Filed
  - M - Abandoned
  - N - Inactive Nat'l Stage

- ◆ Patent Advisor to Modecode Assignment – View and maintain Patent Advisor's modecode assignments. This specifies which Patent Advisor is automatically assigned to a docket upon creation. This assignment is initially based on modecode. It may then be changed to transfer to another Patent Advisor if required (often based on technological areas of expertise). Current assignments are:
  - Margaret Connor
    - Modecode 53 - PACIFIC WEST AREA
  - Randall Deck
    - Modecode 62 - SOUTHERN PLAINS AREA
  - Janelle Graeter
    - Modecode 12 - BELTSVILLE AREA
    - Modecode 19 - NORTH ATLANTIC AREA
    - Modecode 40 - INTERNATIONAL RESEARCH PROGRAMS
  - Joseph Lipovsky
    - Modecode 64 - MID SOUTH AREA
  - Gail Poulos
    - Modecode 66 - SOUTH ATLANTIC AREA
  - Curtis Ribando
    - Modecode 36 - MIDWEST AREA
    - Modecode 54 - NORTHERN PLAINS AREA



## ***Maintaining Reference Table Information***

All reference tables are maintained in the same manner. This section will show one example which may be applied to any reference table maintenance action. Select the Reference Table from the main menu that requires maintenance. For this example, we have selected License Type.

The reference form will show the query screen for the reference table selected:

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Prints Query Help  
ARIS  
REF LICENSE TYPE  
Query  
License Type ☐ Status Code  Status Date   
Description   
Created Last Modified  
Date  Date   
User ID  User ID   
Record: 1/1 <OSC>

Enter any desired query criteria and execute the query by:

- Selecting the <ENTER> key
- Selecting the Disk Icon with a ? on the toolbar
- Selecting the menu option Query -> Execute

Executing the query will bring up a list screen that shows all the codes that matched the query criteria. In this example, we have entered no query criteria and therefore retrieve all the information currently in the reference table.

License Type	Description	Status	Status Date
<input type="checkbox"/> C	Co-exclusive	A	04/23/2003
<input type="checkbox"/> E	Exclusive	A	04/23/2003
<input type="checkbox"/> F	Limited exclusive (fields of use)	A	04/23/2003
<input type="checkbox"/> N	Non exclusive	A	04/23/2003
<input type="checkbox"/> T	Limited exclusive (territories)	A	04/23/2003
<input type="checkbox"/>			
<input type="checkbox"/>			
<input type="checkbox"/>			
<input type="checkbox"/>			
<input type="checkbox"/>			

To add a new code, select the <Add Code> button. This will display the detail screen in Add mode.

Enter the new code and the new description. To save the entry, select the disk icon on the toolbar or from the menu, select Record -> Save. The new entry will now display on the list screen.

To change information on an existing code, select the code on the list screen that is to be modified.

The screenshot shows the 'REF LICENSE STATUS' list screen. It features a table with columns: License Status, Description, Status, and Status Date. The 'Optioned' record is highlighted. Below the table are 'Add Code' and 'Obsolete Code' buttons. The status bar at the bottom indicates 'Record: 3/5'.

License Status	Description	Status	Status Date
<input type="checkbox"/> C	Closed	A	04/23/2003
<input type="checkbox"/> L	Licensed	A	04/23/2003
<input type="checkbox"/> O	Optioned	A	04/23/2003
<input type="checkbox"/> P	Pending	A	04/23/2003
<input type="checkbox"/> T	Terminated	A	04/23/2003
<input type="checkbox"/>			
<input type="checkbox"/>			
<input type="checkbox"/>			
<input type="checkbox"/>			

Then select the detail tab to display the detailed information.

The screenshot shows the 'REF LICENSE STATUS' detail screen. It displays the selected record's information in a form: License Status Code (O), Status (Active), Status Date (04/23/2003), and Description (Optioned). The status bar at the bottom indicates 'Record: 1/1'.

License Status Code: O      Status: Active      Status Date: 04/23/2003  
Description: Optioned

The user may modify all the fields in white. In this case, the description is modifiable and also the status of this record.

When a code is determined to be obsolete and will no longer be used for active data entry, the status of the reference table record must be changed to obsolete. To do this, select the record on the list and select the <Obsolete Record> button. The user will be given a warning message to ensure that they have selected the correct code as shown here:

The screenshot shows the 'REF LICENSE STATUS' window in the Oracle Developer Forms Runtime - Web environment. The window has a menu bar (File, Edit, Action, Record, Prints, Help) and a toolbar. Below the menu bar is the 'ARIS' logo and the title 'REF LICENSE STATUS'. There are two tabs: 'List' and 'Detail'. The 'List' tab is active, displaying a table with the following columns: License Status, Description, Status, and Status Date. The table contains five rows of data, with the second row (Licensed) highlighted. A dialog box is overlaid on the table, asking 'Do you wish to change the Status of this Record to 'Obsolete'' with 'Yes' and 'No' buttons. The dialog box also has a red 'X' icon and a 'Forms' title bar. Below the table are two buttons: 'Add Code' and 'Obsolete Code'. At the bottom of the window, there is a status bar showing 'Record: 3/5' and '<OSC>'.

License Status	Description	Status	Status Date
<input type="checkbox"/> C	Closed	A	04/23/2003
<input type="checkbox"/> L	Licensed	A	04/23/2003
<input type="checkbox"/> O	Optioned	A	04/23/2003
<input type="checkbox"/> P	Pending	A	04/23/2003
<input type="checkbox"/> T	Terminated	A	04/23/2003

Select Yes to change the status of the record to Obsolete. The can also use the modify function described above and change the status of the record in modify mode.

► *Obsolete codes and descriptions are still shown in Active, History and Work records. They are not presented as selections for any new records being created or modified.*

